

SCHEDULE MU-1

New or Revised Items

Items on this Schedule preceded by a single diamond symbol (◆) were either new to the 2000 edition or substantively changed from the previous (1993) edition. Items preceded by a double diamond symbol (◆◆) are either new to this 2003 edition or substantively changed from the 2000 edition. They may have longer or shorter retention periods, additional parts, or additional or revised explanatory notes. Please note these changes carefully on your office schedules and/or inventory or records control forms because only the current items as contained in this edition of Schedule MU-1 are legally applicable. In particular, the Public Safety section has been thoroughly revised, with new subsections and items reorganized.

Unique Item Numbering System

In addition to consecutive numbering of items within each section/subsection of the Schedule, items are also assigned a unique identifying number. That number, which appears in brackets [], does not change as items are revised or relocated in new editions of Schedule MU-1. New items in this edition have been assigned new unique identifying numbers regardless of their location in the Schedule.

Interpreting Schedule Items

Many of the schedule items are broad and describe the purpose or function of records rather than identifying individual documents and forms. Local officials should match the records in their offices with the generalized descriptions on the Schedule to determine appropriate retention periods. Records whose content and function are substantially the same as an item described in the Schedule should be considered to be covered by that item. Local officials should check with SARA when they are uncertain regarding coverage of a function.

Retention periods on this Schedule apply to one "official" copy designated by the local government unless otherwise stated. No matter what the medium, local officials must ensure that the information will be retained for the specified retention period.

The retention periods listed in this Schedule pertain to the information contained in records, regardless of physical form or characteristic (paper, microfilm, computer disk or tape, or other medium). Duplicate copies of records, including copies maintained on different media (paper,

electronic, etc.), may be disposed of in accordance with item no. 19 of the General section of this Schedule.

Records That Have Been Microfilmed or Electronically Duplicated

The retention and disposition of the originals of records that have been microfilmed or electronically duplicated is governed by Section 57.29 of the Arts & Cultural Affairs Law and SARA procedures. Please contact SARA for further information prior to beginning a program of microfilming or any other form of records duplication.

Electronic Records

While items on Schedule MU-1 for the most part cover records regardless of the format in which they are maintained, electronic records in some subject areas are treated differently in this edition of the schedule. Some electronic records are listed specifically in the Building and Property Regulation, Public Health, Public Safety, and Taxation and Assessment sections. In addition, the Electronic Data Processing section has been greatly expanded to cover a number of series not covered by the previous edition of this Schedule. Study SARA's Regulations relating to electronic records (Section 185.8, 8NYCRR), and contact SARA if you have any questions or problems after reviewing these requirements. Contact SARA as well if you need additional information on electronic records falling in the subject areas mentioned above.

Generally, records transmitted through e-mail systems have the same retention periods as records in other formats that are related to the same program function or activity. E-mail records should be scheduled for disposition in conjunction with any other records related to the program function.

Local governments may delete, purge, or destroy e-mail records provided that the records have been retained for the minimum retention established in this Schedule and are not being used for a legal action or audit. Transitory messages may be destroyed in a timely manner, using item no. 18 in the General section of the Schedule. Further information on e-mail records, suggested filing practices, dealing with duplicate copies, and a sample e-mail policy are found in Managing Records in E-Mail Systems (1995), available from SARA.

Electronic records created specifically for distribution via the internet are considered publications, and are covered by item no. 11 in the General section.

SUGGESTIONS FOR RECORDS DISPOSITION

Once this Schedule has been formally adopted valueless records may be disposed of continually as they meet their stated minimum retention periods. The advantages of a program for systematic, legal disposal of obsolete records are that it:

- (1) ensures that records are retained as long as they are actually needed for administrative, fiscal, legal, or research purposes;

- (2) ensures that records are promptly disposed of after they are no longer needed;
- (3) frees storage space and equipment for important records and for new records as they are created;
- (4) eliminates time and effort required to service and sort through superfluous records to find needed information;
- (5) eliminates the potential fire hazard from storage of large quantities of valueless records; and
- (6) facilitates the identification and preservation of archival records.

Suggestions for systematically approaching the disposition process include the following:

(A) Section 57.19 of the Arts & Cultural Affairs Law requires each local government to designate a Records Management Officer to coordinate or directly carry out disposition. The duties of a Records Management Officer are described in SARA Information Leaflet No. 1, Fundamentals of Establishing a Records Management Program. Copies of this Leaflet are available upon request from SARA.

(B) Disposition should be carried out regularly, at least once a year. It should not be deferred until records become a pressing storage problem. Duplicate copies of records, including copies maintained on different media (paper, electronic, etc.), may be disposed of in accordance with item no. 19 of the General section of this Schedule.

(C) State law does not prescribe the physical means of destruction of most records. Records may be destroyed in any way the Records Management Officer or other local official chooses. Disposition through consignment to a paper recycling plant is often the best choice as it helps conserve natural resources and also yields revenue for the local government. For records containing confidential information, disposition should be carried out in a way that ensures that the confidentiality of individuals named in the records is protected.

(D) A record should be kept of the identity, inclusive dates, and approximate quantity of records that are disposed. Sample disposition forms are available from SARA.

(E) The Records Management Officer, or other official who carries out disposition, should describe what has been done to dispose of records during the year in an annual report to the governing body.

GENERAL

NOTE: Records common to most offices are listed under this section of the Schedule. In using the Schedule, one should first attempt to locate a specific item under a functional heading. If the record you are locating cannot be found under a functional heading, then proceed to this General section to search for a less specific item covering the record.

◆1.[1] Official minutes and hearing proceedings of governing body or board, commission or committee thereof including all records accepted as part of minutes:

RETENTION: PERMANENT

◆2.[2] Recording of voice conversations, including audio tape, videotape, stenotype or stenographer's notebook and also including verbatim minutes used to produce official minutes and hearing proceedings, report, or other record

a. Recording of public meeting of governing body or board, committee or commission thereof:

RETENTION: 4 months after transcription and/or approval of minutes or proceedings

NOTE: Videotapes of public hearings and meetings which have been broadcast on local government public access television as covered by item no. 33, below.

NOTE: Appraise these records for historical significance prior to disposition. Audio and videotapes of public hearings and meetings at which significant matters are discussed may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice on the long-term maintenance of these records.

b. Recording other than of public meeting:

RETENTION: 0 after no longer needed

◆◆3.[3] Meeting files for meeting of governing body or board or agency, commission or committee thereof, including agendas, background materials and other records used at meetings:

RETENTION: 1 year

NOTE: Appraise these records for continuing administrative or historical value prior to disposition. Agendas may have continuing administrative value and may be useful for accessing information in unindexed minutes and for indexing those minutes. Other records prepared for or used at meetings may have administrative or historical value for documenting issues discussed at the meetings and referenced in the minutes. See item no. 1, above, for records which are accepted as part of the minutes.

◆4.[4] Legal opinion or legal directive rendered by government agency:

RETENTION: PERMANENT

5.[5] Local law (including certification that law was properly enacted), rule, regulation, ordinance, resolution, proclamation or court order:

RETENTION: PERMANENT

◆6.[6] Legal agreement, including contract, lease, and release involving local government:

RETENTION: 6 years after expiration or termination or 6 years after final payment under contract, whichever is later

NOTE: This item does not apply to contracts (collective bargaining agreements) between a local government and a public employee labor organization. These contracts are covered by item no. 375 in the Personnel/Civil Service section, and must be retained permanently.

7.[7] Signature card, or equivalent record, showing signature of individual legally authorized to sign specific transaction:

RETENTION: 6 years after authorization expires or is withdrawn

◆◆8.[8] Proof of publication or posting, legal notices, or certification thereof

NOTE: This item does not apply to real property tax lien sales or to notice of forthcoming election (see item no. 599 in the Taxation and Assessment section or item no. 179 in the Election section).

a. Relating to bond or note issue or tax limit increase:

RETENTION: 6 years after issue or increase disapproved or retired

b. Not relating to bond or note issue or tax limit increase:

RETENTION: 6 years

◆9.[9] Manual of procedures, or policies and standards

a. Involving major procedures, policies and standards affecting local government operations, critical functions or issues of public visibility or concern:

RETENTION: PERMANENT

b. Involving routine day-to-day procedures, policies and standards pertaining to internal administration of a local government:

RETENTION: 6 years after superseded

◆10.[10] Correspondence, and supporting documentation maintained in a subject file (generated or received by a local government), except correspondence that is part of a case file or other record series listed elsewhere on this Schedule

a. Documenting significant policy or decision making or significant events, or dealing with legal precedents or significant legal issues:

RETENTION: PERMANENT

NOTE: Significant correspondence is often maintained by the chief executive or administrative officer, and sometimes in subject file format. See item no. 581 in the Supervisor, Mayor, Manager, and/or Administrator section.

b. Containing routine legal, fiscal or administrative information:

RETENTION: 6 years

c. Of no fiscal, legal or administrative value (including letters of transmittal, invitations and cover letters):

RETENTION: 0 after no longer needed

◆11.[11] Official copy of publication, including newsletter, press release, published report, bulletin, educational or informational program material prepared by or for local government

NOTE: Specific publications are listed in other places in this Schedule. Before using this item to determine the minimum legal retention for a publication, determine if that publication is covered by a more specific item.

a. Publications which contain significant information or substantial evidence of plans and directions for government activities, or publications where critical information is not contained in other publications:

RETENTION: PERMANENT

b. Publications where critical information is also contained in other publications or reports, publications which document routine activities, publications which contain only routine information, or publications which facilitate access to government information on the internet, such as web pages:

RETENTION: 0 after no longer needed

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Local governments should consider permanent retention of samples of publications covered by part "b" of the above item. Contact SARA for additional advice in this area.

◆12.[12] Special project or program files, including official copy of publications, videotapes, or informational literature prepared for public distribution, background materials and supporting documentation:

RETENTION: 6 years after project or program ends

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. If special projects or programs deal with

significant subjects, then certain documentation from these files, such as summary reports and resulting publications, should be retained permanently.

◆13.[13] Grant program file

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently.

a. Application, proposal, narrative, evaluation, and annual report for grants that have been awarded:

RETENTION: 6 years after renewal or close of grant

NOTE: Local governments may find that some of the records covered by part "a" have ongoing administrative value. These records may be useful beyond the minimum retention period for preparing future grant applications.

b. Background material, fiscal records, and supporting documentation for grants that have been awarded and all records relating to grant applications that have been rejected:

RETENTION: 6 years after renewal or close of grant or denial of application

◆14.[29] Complaint, petition or request for service received by local government

NOTE: Appraise these records for historical significance prior to disposition. Petitions by citizens involving very significant issues should be retained permanently.

NOTE: For additional fiscal items, see Fiscal section of this Schedule.

a. Summary record (such as log or register) of complaints, petitions or requests:

RETENTION: 6 years after disposition of all complaints, petitions or requests listed

b. Complaints, petitions or requests relating to other than routine services or activities:

RETENTION: 6 years after final disposition of complaint, petition or request

c. Complaints, petitions or requests relating to routine government services or activities:

RETENTION: 1 year after final disposition of complaint, petition or request

◆15.[15] Opinion survey records

a. Survey results, including official copy of survey form:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Survey results and sample forms involving very significant issues should be retained permanently.

b. Completed survey forms:

RETENTION: 0 after survey results prepared

◆16.[16] Repair, installation, maintenance or similar record, including but not limited to request for service, work order, record of work done, and summary or log of service performed:

RETENTION: 6 years

NOTE: For maintenance, testing, service, operational and repair records for public equipment or vehicle, see item no. 487 in the Public Property and Equipment section.

◆17.[17] Internal investigation or non-fiscal audit records

NOTE: Fiscal audit records are covered by item no. 260 in the Fiscal section, Audit subsection. Investigations of personnel are covered by item no. 365 in the Personnel/Civil Service section, Personnel subsection.

a. Report and recommendation resulting from investigation:

RETENTION: PERMANENT

b. Background materials and supporting documentation:

RETENTION: 6 years

◆18.[18] Internal information record, including but not limited to calendars of appointments, office and travel schedule, memoranda and routing slips, routine internal reports, reviews and plans, used solely to disseminate information or for similar administrative purposes:

RETENTION: 0 after no longer needed

19.[19] Duplicate copy of record, created for administrative convenience, except where retention is specified elsewhere in this Schedule:

◆20.[20] Log or schedule used for internal administrative purposes only:

RETENTION: 0 after no longer needed

◆21.[21] Mailing list used for billing or other administrative purposes:

RETENTION: 0 after superseded or obsolete

◆22.[22] Daily, weekly, monthly, quarterly or other periodic internal or external report, summary, review, evaluation, log, list, statement or statistics:

RETENTION: 6 years

NOTE: For annual, special, or final report, summary, review or evaluation, see item no. 23, below. For routine internal reports and reviews, see item no. 18, above.

◆23.[23] Annual, special or final report, summary, review or evaluation

NOTE: Specific annual reports are listed in many places in this Schedule. Before using this item to determine the minimum legal retention for an annual report, determine if that report is covered by a more specific item.

a. Reports which contain substantial evidence of government policy, procedures, plans and directions:

RETENTION: PERMANENT

b. Reports where critical information is contained in other reports, reports which document internal management and housekeeping activities, or reports which contain only routine legal, fiscal and administrative information:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently.

◆24.[24] Program plan (annual, special or long-range):

RETENTION: PERMANENT

NOTE: Program plans of a routine nature covering internal activities are covered by item, no. 18, above. Program plans where significant information is duplicated in other records (which are retained permanently) are covered by item no. 19, above.

25.[25] List, index or summary used for internal administrative convenience or for informational purposes:

RETENTION: 0 after obsolete

26.[26] Working document, such as draft, worksheet or posting record except worksheets containing fiscal information:

RETENTION: 0 after no longer needed

◆27.[27] Communication log recording each communication between caller and receiving unit:

RETENTION: 1 year

NOTE: Items 27 & 28 do not apply to records found in the public safety area. See the Public Safety section of this Schedule.

28.[28] Telephone call log, statement or equivalent record:

RETENTION: 1 year

◆29.[33] Identification card (duplicate copy or record of issuance) issued to client, patron or resident:

RETENTION: 0 after invalid

NOTE: This does not apply to identification cards issued by a law-enforcement agency as proof of age or residency or identification cards issued by local government to its employees. See item no. 528 in the Public Safety section and item no. 370 in the Personnel/Civil Service section.

30.[30] Postal records, including returned registered or certified mail card or receipt and insurance receipt:

RETENTION: 1 year

NOTE: This does not apply to records documenting delivery of notification to interested parties relating to tax lien sales. See the Taxation and Assessment section of this Schedule.

◆31.[31] Accident report and related records:

RETENTION: 3 years, or 0 after individual attains age 21, whichever is later

◆32.[32] Report of incident of theft, arson, vandalism, property damage or similar occurrence:

RETENTION: 6 years

NOTE: This item does not apply to records found in the public safety area. See the Public Safety section of this Schedule.

◆33.[653] Local government public access television records

a. Videotape (or other information storage device) recording local government public access television program, where program is produced by a local government

Where program constitutes an important public meeting, significant event, important subject or documents local government policy making:

RETENTION: PERMANENT

NOTE: In order to ensure the continued preservation and availability of videotapes, local governments should consider using broadcast-quality tapes where possible. Those tapes should be periodically inspected and copied to newer tapes and formats. Consult SARA for additional advice.

Where program constitutes a routine meeting, event or subject:

RETENTION: 1 year

Where program is aired but not produced by a local government:

RETENTION: 0 after no longer needed

b. Viewer guide or other periodic listing of programs:

RETENTION: 1 year

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. SARA recommends that local governments retain a sampling of these records on a monthly, seasonal or other periodic basis.

c. Program files on local government cable television programs:

RETENTION: 6 years

◆34.[654] Records covering photocopying and other reproduction of records, books, or other materials, including usage logs and individual copying requests

a. For materials subject to U.S. Copyright Law:

RETENTION: 3 years

b. For materials not subject to U.S. Copyright Law:

RETENTION: 0 after no longer needed

◆35.[655] Training course information records, including but not limited to memoranda, flyers, catalogues and other records related to specific training courses including information on course content, program registration, instructor, credits, hours and roster of agency registrants:

RETENTION: 0 after superseded or obsolete

NOTE: This item does not cover training in the Public Safety area; see item nos. 498 and 504 in the Public Safety section. This item does not cover training in dealing with toxic substances; see item no. 379 in the Personnel/Civil Service section.

◆36.[656] Training course registration processing records, including but not limited to employees' application and enrollment records for courses including employee data forms, course applications, and supervisors' and training officers' authorizations or denials:

RETENTION: 3 years after date of application to take course

◆◆37.[861] Copyright records, for materials copyrighted by local government, including but not limited to copy of application, notice of copyright and correspondence:

RETENTION: 6 years after copyright expires or application denied

AGING OR SENIOR SERVICES

1.[34] Annual and multi-year comprehensive plans, compliance reports and non-fiscal audits relating to aging services:

RETENTION: PERMANENT

◆2.[35] Log or index of seniors served by local aging services program:

RETENTION: 0 after no longer needed

◆3.[36] Individual client file, including but not limited to applications, evaluations, and follow-up report:

RETENTION: 6 years after last contact with client

4.[37] Senior volunteer file, including but not limited to registration, enrollment and service records:

RETENTION: 6 years

ARCHIVES/RECORDS MANAGEMENT

◆1.[38] Records disposition documentation

a. Consent of the Commissioner of Education to the use of records retention and disposition schedules and the legal disposition of records:

RETENTION: 0 after superseded

b. Documentation of final disposition of records, describing records disposed of and manner and date of disposition:

RETENTION: 6 years after final disposition of records

NOTE: Local governments may wish to retain records covered by part "b" longer than the minimum retention period, to provide evidence that records have been legally disposed of, in response to requests for public access to records. In addition, documentation of the final disposition of archival records is covered by item no. 40, below.

◆2.[39] Inventory of records:

RETENTION: 0 after superseded

3.[40] Records transfer list

a. For archival records:

RETENTION: PERMANENT

b. For inactive records:

RETENTION: 0 after disposition of records on list

◆4.[41] Retrieval request for records in storage:

RETENTION: 0 after return of records, or 3 years after retrieval when records not returned

5.[42] Archival administration records

a. Appraisal and accessioning documentation, including assessment of conservation needs:

RETENTION: PERMANENT

b. Processing and management working papers, drafts, notes, and related records:

RETENTION: 0 after no longer needed

◆6.[43] Guide, listing, index, or other finding aid to archival records:

RETENTION: 0 after superseded

NOTE: Local governments should retain any superseded guides, lists, indices or other finding aids containing record numbering and identification information, or any other significant information not carried forward to newer versions.

◆7.[44] Records on use of archival materials

a. Log or register of researchers, and patron's registration for use of archival records:

RETENTION: 6 years

b. Researcher interviews, reference statistics, requests for records, or similar reference service records:

RETENTION: 0 after no longer needed

ATTORNEY OR COUNSEL

◆1.[45] Legal case file, including but not limited to notice of claim, attorney and investigator activity logs, complaints, court order, motions, notes, briefs, releases and closing sheet:

RETENTION: 6 years after case closed, or 0 after any minor involved attains age 21, whichever is later

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Local governments should consider permanent retention of significant cases which have importance or which set major legal precedents. For instance, local governments may wish to permanently retain files for cases concerning major local controversies, issues, individuals and organizations which are likely to be the subject of ongoing research or which result in decisions or rulings of major significance to the local government or community or to the entire state. Contact SARA for additional advice in this area. In addition, local governments may wish to retain the complaint and release for routine cases longer for convenience of reference.

2.[46] Legal brief file ("brief bank") containing duplicate copies of legal briefs from case files, retained separately for future reference:

RETENTION: 0 after no longer needed

◆3.[47] Legal case log giving chronological listing of cases:

RETENTION: 0 after no longer needed

4.[48] Legal case index, including notations on activities related to case:

RETENTION: PERMANENT

5.[49] Subject file assembled and kept for reference purposes:

RETENTION: 0 after no longer needed

6.[50] Indigent defendant screening records documenting investigation of defendant's need for public defender, including case investigations and master summary record of court assignments and subsequent investigation:

RETENTION: 6 years

BUILDING/PROPERTY HISTORY SYSTEMS

NOTE: Some municipalities in the state use automated systems to keep track of various functions of their offices regarding building and property regulation. These systems, which we are referring to generically as "Building/Property History Systems," contain information in such areas as planning, zoning, building permits and inspections, fire safety, code enforcement, violations and complaints. In general, these systems do not replace existing hard copy-based systems, but do create some of the forms and other paper records in these files. In addition, these systems contain data files and other electronic records not found in manual systems. The items below are meant to cover not only electronic records contained in these automated systems, but also maps, reports and other system output maintained in both traditional hard copy and electronic format as well. More importantly, these systems often contain summary information on various municipal activity regarding a specific building and/or parcel of real property. The building/property history data file, listed below, may contain retrospective information on building permit issuance, building inspection, certificate of occupancy issuance, site plan review or other planning actions, zoning variances, special use permits and fire inspections for a single parcel of property over a period of time.

◆1.[657] Building/property history data file contained in building/property history system, and related records, created for informational and reference purposes, containing information on such areas as building permit issuance, building inspection, certificate of occupancy issuance, site plan review or other planning actions, zoning variances, special use permits and fire inspections:

RETENTION: 0 after no longer needed

NOTE: Municipalities should consider permanent retention of the basic data elements of these building/property history systems for all parcels of property in the municipality. This information may be useful for long-range planning purposes, and for community, urban planning and architectural history research.

More importantly, this data provides for ease of access to summary data on individual parcels of real property and the structures located on them. In addition, this data file may be used to access more detailed records maintained in electronic data output or maps, plans, permits and other paper records in inactive storage.

Contact SARA for additional advice.

◆2.[658] Street address/parcel number authority data file, used to supply building/property history system with accurate, up-to-date information on real property tax parcel numbers, property owners' names and addresses, parcel sizes, E-911 or other street addresses, and other essential data necessary for system to operate:

RETENTION: Retain until superseding or updated file received

NOTE: This data is often received from an assessor's or tax office. See items covering real property data systems in the Taxation and Assessment section.

◆3.[659] Lists, reports, studies, queries, searches for information, special project records and analyses created from data contained in one or more data files in building/property history system

a. Final reports and studies resulting from analysis of system data, including background materials and supporting documentation containing significant information on real property and structures located thereon, used for such purposes as long-range planning, change of zoning boundaries and regulations, or planning infrastructure improvements or new facility construction:

RETENTION: 6 years after project completed, or after date of final entry in record

NOTE: Appraise these records for historical significance prior to disposition. Records for important projects have historical value and should be retained permanently. Contact State Archives for additional advice.

b. Reports and studies resulting from analysis of system data, including background materials and supporting documentation, queries, searches for information, lists, logs or other internal information records, containing routine information on real property and structures located thereon, or used to produce final reports and studies:

RETENTION: 0 after no longer needed

NOTE: Queries conducted in automated systems are not considered "records" unless the query and/or its results are saved in electronic or manual format. See also related items in the Electronic Data Processing section.

**BUILDING AND CONSTRUCTION (REGULATION AND INSPECTION, COMPLAINTS,
INVESTIGATIONS AND VIOLATIONS)**

NOTE: Applications for permits necessary for connection to public water supply system or municipal sewer, for individual water supply or sewage disposal system, for groundwater drainage, and for soil or stream disturbance or realty subdivision construction, are found in the Environmental Health section of this Schedule. For additional records dealing with historic preservation, see item no. 336 in the Miscellaneous section.

1.[58] Master summary record, including index, log or journal, covering building code

RETENTION: PERMANENT

2.[59] Housing maintenance or building inspection records, including but not limited to complaints, inspection reports, notice of violation, cumulative building inspection record, appeal or review and final disposition of case

a. For school, public building, multifamily dwelling, commercial or industrial structure, or hazardous structure:

RETENTION: 6 years after building no longer exists, but not less than 21 years

b. For single family home:

RETENTION: 6 years after last entry in record

NOTE: Building inspection records relating to building permit issuance are covered by item no. 60, below.

◆◆3.[917] Fire safety inspection records

a. Master summary record of inspections performed:

RETENTION: PERMANENT

b. Report on inspection at school, public building, multifamily dwelling, or commercial or industrial facility and notice of violation:

RETENTION: 21 years

NOTE: If fire safety inspection records are combined or interfiled with building inspection records, use item no. 59a, immediately above.

c. Report on inspection of single family dwelling and notice of violation:

RETENTION: 6 years

◆4.[660] Building inspection data file contained in building/property history system, and related records, created for informational and reference purposes, containing information on building inspections not related to building permit issuance, certificate of occupancy issuance, fire inspections, and other relevant detailed information:

RETENTION: 0 after no longer needed

NOTE: Municipalities should consider permanent retention of the basic data elements of this building inspection data for all parcels of property in the municipality, unless that data is preserved by the building/property history system overall summary data file (see item no. 657, above.) This information may be useful for long-range planning purposes, and for community, urban planning and architectural history research. More importantly, this data provides for ease of access to summary building permit data on individual parcels of real property and the structures located on them. In addition, this data file may be used to access more detailed building permit records in electronic data output or maps, plans, permits and other paper records in inactive storage. Contact SARA for additional advice.

◆5.[60] Building permit and certificate of occupancy issuance records

NOTE: Building permit files often contain plans, sketches, photographs, and other records that provide valuable information on individual structures. These records may have continuing value for historical or other research, and SARA suggests they be retained permanently.

a. Master summary record of applications for building, plumbing, electrical, demolition or related permits, or for certificates of occupancy granted:

RETENTION: PERMANENT

b. Log or other chronological list recording permits or certificates of occupancy issued:

RETENTION: 1 year after last entry in record, or 1 year after posting

c. Building, plumbing, electrical, demolition or related permit file, including application and supporting materials; plans, maps and drawings; specifications; inspection reports; copies of all required permits and

approvals; affidavit of compliance or completion of work; records of appeal when permit is denied; certificate of occupancy and correspondence

When permit is granted:

RETENTION: 6 years after building no longer exists

When permit is denied:

RETENTION: 6 years after final decision

When application is discontinued, has lapsed or is incomplete:

RETENTION: 90 days after date of most recent entry in record

For non-structural modifications to shopping mall, office complex or similar structure (modifications not involving changes to fire suppression or alarm systems), when permit is granted:

RETENTION: 10 years

NOTE: Certain records covered by this item may be included under item no. 661, below, such as in instances where they are maintained in electronic format and not created as hard-copy output and included in the building permit file. In these cases, the electronic records covered by item no. 661

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must be retained as long as specified by this item.

d. Certificate of occupancy and application when not related to building permit application:

RETENTION: 6 years after building no longer exists

e. Detailed construction specifications submitted as part of building permit application:

RETENTION: 6 years after denial of permit or completion of work

◆6.[661] Building permit issuance data file contained in building/property history system, and related records, created for informational and reference purposes, containing

information on applications for and issuance of building permits, including related inspections, certificate of occupancy issuance, and other relevant detailed information:

RETENTION: 0 after no longer needed

NOTE: Municipalities should consider permanent retention of the basic data elements of this building permit issuance data for all parcels of property in the municipality, unless that data is preserved by the master summary record (see item no. 58, above.) This information may be useful for long-range planning purposes, and for community, urban planning and architectural history research. More importantly, this data provides for ease of access to summary building permit data on individual parcels of real property and the structures located on them. In addition, this data file may be used to access more detailed building permit records in electronic data output or maps, plans, permits and other paper records in inactive storage. Contact SARA for additional advice in this area.

7.[61] Building condemnation and demolition files, including application, copy of permit, correspondence, and notice of condemnation:

RETENTION: PERMANENT

8.[62] Contractors' liability insurance records

a. Certificate of insurance or copy of insurance policy:

RETENTION: 6 years after denial or expiration of relevant permit

b. Master summary record of contractors doing business in municipality and their insurance coverage:

RETENTION: 1 year after superseded or obsolete

◆9.[662] Building complaints/violations records, including data file contained in building/property history system, and related records, containing information on complaint tracking and violation processing, and other relevant information:

RETENTION: 6 years

Schedule MU-1 Building and Property Regulation

NOTE: For citizen complaints and requests for services, not covered by items in this section, see item no. 29 in the General section. For sanitary code violations, see item no. 213 in the Environmental Health section.

NOTE: Municipalities should consider longer retention of the basic data elements of this complaints/violations data for all parcels of property in the municipality, unless that data is preserved by the building/property history system overall summary data file (see item no. 657, above.) This information may be useful for long-range planning purposes in conjunction with building permit issuance and building inspection data. Contact SARA for additional advice.

PLANNING

1.[397] Comprehensive plan development file, including but not limited to official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plan:

RETENTION: PERMANENT

◆2.[663] Planning action data file contained in building/property history system, and related records, created for informational and reference purposes, containing information on mandatory or discretionary planning review, planning projects, and other relevant detailed information:

RETENTION: 0 after no longer needed

NOTE: Municipalities should consider permanent retention of the basic data elements of this planning action data for all parcels of property in the municipality, unless that data is preserved by the building/property history system overall summary data file (see item no. 657, above.) This information may be useful for long-range planning purposes, and for community and land use history research. More importantly, this data provides for ease of access to summary building permit

data on individual parcels of real property and the structures located on them. In addition, this data file may be used to access more detailed building permit records in electronic data output or maps, plans, permits and other paper records in inactive storage. Contact SARA for additional advice.

3.[398] Planning project or program file for project or program developed by or for planning agency

a. Final report and essential supporting information used to develop report, including but not limited to maps, plans, technical memoranda and environmental impact studies:

RETENTION: PERMANENT

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Schedule MU-1 Building and Property Regulation

b. Background material, including but not limited to notes, memos, worksheets and correspondence:

RETENTION: 6 years

4.[399] Master summary record (log or register) maintained by planning agency to record receipt of planning or zoning reviews and projects, and to record subsequent action taken:

RETENTION: PERMANENT

5.[400] Geographic reference file maintained by planning agency for internal reference purposes, usually arranged by name of government agency or other service organization:

RETENTION: 0 after obsolete

◆6.[401] Mandatory planning review case file for required review of site plan, zoning variance, special permit, change of zoning, subdivision creation or enlargement, municipal planning action, or other required review, including but not limited to maps, plans, sketches, photographs, engineering reports, environmental impact

statements and studies, copies of zoning records, project narrative, correspondence, and record of final determination

a. Subdivision, historic structure, major commercial or industrial development, or capital construction, where application is approved or denied (except records covered by part "d"):

RETENTION: PERMANENT

b. Subdivision, historic structure, major commercial or industrial development, or capital construction, where application is withdrawn or abandoned (except records covered by part "d"):

RETENTION: 10 years after last entry

c. Any other mandatory review:

RETENTION: 6 years after last entry

d. Detailed construction specifications, receipts and transmittal documents, lists of abutting properties, superseded versions of plans and drawings, routine correspondence and internal notes and memoranda from all files:

RETENTION: 6 years after last entry

e. Informal consultation records, created as a result of informal meeting with prospective applicant, prior to actual submission of application:

RETENTION: 1 year after last entry

NOTE: "Subdivision," as used in this item, means the division of one parcel of land into two or more lots, blocks, plots or sites.

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Schedule MU-1 Building and Property Regulation

7.[402] Discretionary planning review case file, including review of planning review cases, Federal or other aid projects, environmental impact or similar studies, or other reviews, including but not limited to application, correspondence, copies of local planning or zoning records, maps, plans, sketches, and other supporting

materials

a. When review is carried out, and comments are forwarded by planning agency:

RETENTION: 3 years after last entry

b. When no comments are forwarded by planning agency:

RETENTION: 1 year after receipt of request to review

ZONING

NOTE: For additional records dealing with historic preservation, see item no. 336 in the Miscellaneous section.

◆1.[664] Master summary record (log or register) maintained by zoning agency to record receipt of zoning variance and special use permit applications, change of zoning applications for individual parcels, and other zoning activity, and to record subsequent action taken:

RETENTION: PERMANENT

2.[648] Zoning maps, and all updates:

RETENTION: PERMANENT

◆3.[665] Zoning action data file contained in building/property history system, and related records, created for informational and reference purposes, containing information on zoning variances, special use permits, and other relevant detailed information:

RETENTION: 0 after no longer needed

NOTE: Municipalities should consider permanent retention of the basic data elements of this zoning action data for all parcels of property in the municipality, unless that data is preserved by the building/property history system overall summary data file (see item no. [657], above.) This information may be useful for long-range planning purposes, and for community and land use history research. More importantly, this data provides for ease of access to summary building permit data on individual parcels of real property and the structures located on them. In

addition, this data file may be used to access more detailed building permit records in electronic data output or maps, plans, permits and other paper records in inactive storage. Contact SARA for additional advice.

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Schedule MU-1 Building and Property Regulation

◆4.[649] Change of zoning records, including application, petition, protest, hearing minutes, preliminary and final reports and correspondence, relating to changes proposed in zoning boundaries or regulations:

RETENTION: PERMANENT

NOTE: Change of zoning records relating to changes in zoning classification for individual parcels of property, not affecting other parcels or larger areas, are covered by item no. 650, below, as if these were zoning variance applications.

◆5.[650] Zoning variance or special permit file, including application and supporting materials, hearing results, decision and appeal records

a. For commercial, industrial, historic structure or multi-unit residential variance or permit (except records covered by part "c"):

RETENTION: PERMANENT

b. For single-unit residential variance or permit:

RETENTION: 25 years after date of last entry

NOTE: Certain single-unit residential variance and permit files may be significant because they set legal precedents and should be retained permanently. Those involving the definition of what constitutes a "family" may be particularly important.

c. Detailed construction specifications, receipts and transmittal documents, lists of abutting properties, superseded versions of plans and drawings, routine correspondence and internal notes and memoranda from all files:

RETENTION: 6 years after last entry

d. Informal consultation records, created as a result of informal meeting with prospective applicant, prior to actual submission of application:

RETENTION: 1 year after last entry

6.[651] Notification of proposed zoning change, received from adjacent town:

RETENTION: 1 year

7.[652] Zoning ordinance violation records, not related to zoning variance or special permit application

a. For alleged but unfounded violation:

RETENTION: 1 year

b. Violation files:

RETENTION: 6 years after date of last entry in record

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Schedule MU-1 Building and Property Regulation

c. Master summary record of violations:

RETENTION: PERMANENT

23Schedule MU-1 Cemetery

CEMETERY

1.[63] Record of lot owners, "deed book," or equivalent record:

RETENTION: PERMANENT

2.[64] Bill of sale issued to purchaser of lots:

RETENTION: 6 years

◆3.[65] Informational copy of deed for lot, request for deed to be prepared, or request for copy of deed:

RETENTION: 0 after no longer needed

4.[66] Inscription taken from headstones:

RETENTION: PERMANENT

5.[67] Interment, exhumation or removal records:

RETENTION: PERMANENT

6.[68] Maps, plot plans and surveys:

RETENTION: PERMANENT

7.[69] Permit of approval necessary to erect monument or perform other work on cemetery lot, including application and related records:

RETENTION: 6 years

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Schedule MU-1 Civil Defense/Disaster Preparedness

CIVIL DEFENSE/DISASTER PREPAREDNESS

◆1.[70] Disaster preparedness or crisis relocation records

a. Official copy of plans, including supporting maps, when prepared by local government under provisions of Section 23, Executive Law:

RETENTION: PERMANENT

b. Copies of plans held by local government, including supporting maps, when official copies prepared under Section 23, Executive Law, are maintained by county or other local government which created them, along with other disaster preparedness plans, not prepared under Section 23, Executive Law, intended for specific buildings or for use by specific local government units:

RETENTION: 3 years after superseded

c. Background materials and supporting documentation used in preparation of plans:

RETENTION: 3 years

◆2.[71] Federal surplus property acquisition records:

RETENTION: 6 years after receipt of surplus property

◆3.[72] Emergency food storage records:

RETENTION: 3 years

◆4.[73] Emergency fuel allocation records, including monthly application/report and

detailed fuel allocation records:

RETENTION: 3 years

◆5.[74] Disaster response and damage files compiling information on the response of all agencies to a major disaster, including such records as photographs, press clippings, property damage reports, records of emergency response, summary reports of personal injuries, records relating to demolition and new construction, and correspondence:

RETENTION: PERMANENT

◆◆6.[75] Emergency operating center records covering maintenance and use:

RETENTION: 6 years after center no longer used for civil defense purposes

NOTE: For property acquisition, facility construction and other records covering emergency operating centers and fallout shelters, see the Public Property and Equipment section.

◆7.[76] Fallout shelter records

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Schedule MU-1 Civil Defense/Disaster Preparedness

a. Licenses, plans and surveys:

RETENTION: 6 years after building no longer in existence

b. Listing of shelters:

RETENTION: 0 after superseded or obsolete

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Schedule MU-1 Community Development/Urban Renewal

COMMUNITY DEVELOPMENT/URBAN RENEWAL

1.[150] Master summary record (log or register) documenting all activity of agency, covering housing rehabilitation, tenant relocation, economic development, property acquisition and resale, special projects and various contacts:

RETENTION: PERMANENT

2.[151] Federal assistance application submitted annually to U.S. Department of Housing and Urban Development or successor agency:

RETENTION: PERMANENT

◆3.[152] Case files of community development or urban renewal agency

NOTE: Appraise these records for historical significance prior to disposition.

Records with historical value should be retained permanently. Contact SARA for additional advice.

a. Economic development case file, including but not limited to application, copy of loan approved or denied, financial statements, progress reports, copies of plans and specifications and correspondence:

RETENTION: 6 years after denial or invalidation of application or final payment on loan

b. Business or resident relocation case file, including but not limited to vacation notice, income and need determination records, field reports, estimates of expenditures, copies of property acquisition records, rent collection records and correspondence:

RETENTION: 6 years after last entry in record

c. Housing rehabilitation case file, including but not limited to application, notice of denial or approval, contract, grant or loan agreement, copies of real property records, building department records, rental assistance records, specifications, property description, certificate of completion and correspondence:

RETENTION: 6 years after denial of application or completion of project or final payment on loan

d. Property acquisition case file, including but not limited to maps, plans and specifications; rent collection records and copies of tenant relocation records; demolition records; records of property improvements;

advertisements of property for sale; bids and records of bid acceptance or refusal; property description; appraisal and eminent domain records and

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Schedule MU-1 Community Development/Urban Renewal

correspondence:

RETENTION: 6 years after sale of property by local government

NOTE: Rent collection records and copies of tenant relocation records need only be retained for 6 years.

e. Property purchase and resale case file, such as F.H.A. or real property tax foreclosure, including but not limited to copies of real property records, foreclosure records, copies of building department records, property description, records of property improvements, advertisement of sale, bids and records of bid acceptance or refusal, copy of sale agreement and correspondence:

RETENTION: 6 years after sale of property by local government

f. Public/community service project case file, including but not limited to project applications, interim financial and progress reports, inspection reports, notes and correspondence, but excluding final reports:

RETENTION: 6 years after completion of project or denial of application

g. Final reports on public/community service projects:

RETENTION: PERMANENT

h. Photographs, architects' plans and sketches of buildings, streets and urban areas from all case files:

RETENTION: 6 years after building no longer owned by local government

NOTE: Appraise these records for historical significance prior to

disposition. Some photographs, plans and sketches may have continuing value for architectural, historical or other research and should be retained permanently. Contact SARA for additional advice.

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CONSUMER PROTECTION SERVICES CONSUMER PROTECTION

1.[153] Master summary record (log or register) of consumer practice inspections, complaints, violations or other agency activity:

RETENTION: PERMANENT

2.[154] Consumer practice retail establishment inspection report:

RETENTION: 6 years

3.[155] Consumer practice complaint file, including complaint, notice of violation, investigation report, record of assessment and collection of fine, or notice of dismissal and related correspondence:

RETENTION: 6 years after last entry

WEIGHTS AND MEASURES

1.[156] Certification of approval ("proof of accuracy") for sealer's weighing and measuring equipment, issued by New York State Department of Agriculture and Markets:

RETENTION: 6 years after expiration

2.[157] Sealer's inspection report of weighing or measuring device or of packaged item sold by weight, when no violation is discovered:

RETENTION: 2 years

3.[158] Report on food labelling or advertising, and related correspondence:

RETENTION: 2 years

4.[159] Log or index of inspections performed and/or other activities of sealer of weights and measures:

RETENTION: 6 years after last entry

5.[160] Program evaluation or audit of sealer of weights and measures, conducted by
New York State Department of Agriculture and Markets:

RETENTION: 6 years

6.[161] Violation files, including inspection report, notice of violation, notice of correction
of inaccuracy, fine collection record and correspondence:

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Schedule MU-1 Consumer Protection Services

RETENTION: 6 years

◆7.[666] Calibrations for bulk milk holding tanks and other volumetric measures:

RETENTION: 2 years after recalibration completed or volumetric measure

no longer in use

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Schedule MU-1 Dog Identification and Control

DOG IDENTIFICATION AND CONTROL

1.[162] Master summary record, index or listing

a. Master summary record, such as index registry, of dog, purebred, or
kennel licenses granted or license applications:

RETENTION: 0 after superseded or obsolete

b. Renewal list, non-renewal list, population list, or other listing supplied by

New York State Department of Agriculture and Markets:

RETENTION: 0 after superseded or obsolete

c. Enumerator's list of owners or harborers of dogs, prepared by local
government offices, including billing for enumerator's services and related
records:

RETENTION: 6 years

◆2.[163] Copy of original or renewal license for dog, purebred license (including
application and renewal license), or dealer's exemption certificate:

RETENTION: 3 years after expiration

3.[164] Affidavit for spayed or neutered dog or veterinarian's certificate:

RETENTION: 0 after obsolete

4.[165] Records relating to replacement of dog tag or purebred ID tag:

RETENTION: 1 year

5.[166] Records relating to the audit of dog and purebred licenses, tags and validation stickers by New York State Department of Agriculture and Markets, or to the disposal of licenses or tags:

RETENTION: 3 years

6.[167] Reports

a. Report on dog or purebred licensing or license sales:

RETENTION: 6 years

b. Municipal compliance report, sent to New York State Department of Agriculture and Markets on dog identification and control:

RETENTION: 3 years

c. Notification sent to New York State Department of Agriculture & Markets of dog or purebred license fee established by local government:

RETENTION: 0 after superseding notice is filed, but not less than 6

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Schedule MU-1 Dog Identification and Control

years

7.[168] Affidavits and other records required prior to 1980 as part of dog licensing procedure:

RETENTION: 1 year

NOTE: This does not include affidavit for spayed or neutered dog or assessor's affidavit regarding claim for damages caused by dog. See item nos. 164 and 170.

◆8.[169] Records relating to dangerous dog or other animal, to their seizure, or to

cruelty to animals:

RETENTION: 20 years, but not less than 6 years after death of animal (if death is known to have occurred)

9.[170] Records relating to claim for damages caused by dog or by rabies to domestic animals, including appraisal report, certificate of claim, assessor's report and affidavit, and other records:

RETENTION: 6 years after last entry

10.[171] Animal shelter records

a. Master summary record (index, log or intake record) covering all animals held by shelter:

RETENTION: 3 years after last entry

b. Individual animal disposition record, covering redemption, adoption or euthanasia of seized animal:

RETENTION: 3 years

11.[172] Notice of violation of animal control law or ordinance:

RETENTION: 3 years

◆12.[667] Reports of rabies vaccinations, forwarded by clinic, veterinarian or animal shelter to municipality:

RETENTION: 3 years

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Schedule MU-1 Economic/Industrial Development

ECONOMIC/INDUSTRIAL DEVELOPMENT

◆1.[173] Business/industry loan case file, including but not limited to loan application and evaluation, status reports, records of loan payments, tax abatement and exemption records, feasibility studies and correspondence:

RETENTION: 6 years after denial of application or 6 years after final payment on loan

2.[174] Master summary record (log or register) documenting contacts and inquiries and resulting responses and actions taken by agency personnel:

RETENTION: PERMANENT

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ELECTION

◆1.[175] Voter registration records, including register of voters and pollbook:

RETENTION: 5 years

NOTE: Appraise these records for historical significance prior to disposition, especially when not duplicated at a county board of elections. Records with historical value should be retained permanently. Even though certain voter registration records are retained permanently by county boards of elections, municipalities and districts may wish to retain these records longer, if not permanently, for convenience of reference and for research purposes, if they contain information not found at county boards. See also item no. 186, below. Contact SARA for additional advice in this area.

◆2.[176] Vote recording and tabulating records

a. Sample ballot:

RETENTION: PERMANENT

b. Voted ballot:

RETENTION: 1 year after election

c. Application for absentee ballot:

RETENTION: 30 days after election

d. Final election results, including election inspectors' return and statement of canvass (where information is not duplicated in report of final election results) and election result reports from town, city, village, or district clerk, or county board of elections:

RETENTION: PERMANENT

e. Intermediate records used to compile final election results, including tally sheets, voting machine tabulation, detailed breakdown of results by wards or election districts and election inspectors' returns and statements of canvass (where information is duplicated in report of final election results):

RETENTION: 1 year after election

3.[177] Election readiness records, including certification of testing of voting machines, record of ballot delivery, or similar records:

RETENTION: 1 year after election

4.[178] Election officials' appointment records, including notice of appointment, oath of office, and record of service:

RETENTION: 1 year after election

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Schedule MU-1 Election

5.[179] Notification and publication of notice of forthcoming election

a. Official copy of election notice:

RETENTION: PERMANENT

b. Proof of publication or posting, certification and listing of notice posting, copy of newspaper notice and certification of offices to be voted for at forthcoming election:

RETENTION: 1 year after election

◆6.[180] Referendum records, covering any question, recall or special election, including but not limited to actual petitions, records of signature verification and correspondence

NOTE: Certain records documenting establishment, incorporation, annexation, consolidation, dissolution or charter revision must be retained permanently; see item no. 334 in the Miscellaneous section.

a. Summary records documenting request or need for referendum, such as

records of public hearing, narrative justification accompanying petition,
reports and correspondence dealing with pros and cons of issue at question:

RETENTION: PERMANENT

b. Other referendum records, including actual petitions, records of signature
verification and routine correspondence:

RETENTION: 1 year after election

◆7.[181] Election officials' training and qualifications records:

RETENTION: 3 years

8.[182] Candidate designation or nomination records, including petitions, certificate,
declination of nomination, objection to nomination, and related records:

RETENTION: 1 years after election

9.[183] Certificate of acceptance of office:

RETENTION: 1 year after person leaves office

◆10.[184] Election challenge or investigation records:

RETENTION: 6 years after last entry

NOTE: Appraise these records for historical significance prior to disposition.

Records which document significant investigations and challenges to election results
my possess historical value and should be retained permanently. Contact SARA
for additional advice.

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Schedule MU-1 Election

◆11.[185] Records of election financing and/or campaign receipts, contributions and
campaign expenses, including attached copies of political advertisements and
literature, including but not limited to report of campaign receipts and
expenditures, waiver of report, party committee's designation of treasurer and
depository and statement of authorization or non-authorization by candidate:

RETENTION: 5 years

Note: Campaign financing is a major public policy issue. Therefore, SARA preserves state-level campaign finance records and the New York City Board of Elections preserves City campaign finance records. Preservation of these archival records will maintain vital evidence for future research about campaign financing. County boards of elections have the option to preserve these financing statements longer than 5 years if they find the need to do so. Likewise, villages and other local governments may wish to preserve all or some campaign finance records beyond the five year minimum in those instances where the elections involved are hotly contested and serious local issues are involved. Contact SARA for more advice if necessary.

12.[186] Informational records received from county board of elections, including lists of election officials, enrollment or registration lists, district maps and instructional materials:

RETENTION: 0 after superseded or obsolete

NOTE: While official copies of these records are maintained by the county board of elections, some of these records contain important information relating to local elections and may be retained permanently for future research and documentation of local elections.

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ELECTRIC AND GAS UTILITY

1.[187] Operational permit records, including application, copy of permit and correspondence:

RETENTION: 6 years after denial of application or expiration, renewal or revocation of permit

◆2.[188] Construction, modification, demolition or retirement records for electric or gas production plant and transmission and distribution system, including but not limited to detailed construction specifications and other supplementary documentation,

progress and completion reports, work orders, memoranda, worksheets, records of inspection and work evaluation and correspondence:

RETENTION: 10 years after retirement of plant or system

NOTE: Appraise these records for historical significance prior to disposition.

Significant records deriving from the construction, retirement or other major changes in municipal power facilities may have long-term value deriving from and relating to the importance of these facilities in the community and should be retained permanently. Contact SARA for additional advice.

3.[189] Gas and electric utility reports

a. Station or system power generation report:

RETENTION: 25 years

b. Station or system inspection report, including operating tests:

RETENTION: 6 years

c. Inspection and repair reports on street openings, such as for correcting gas leaks:

RETENTION: 6 years

d. Analysis of gas produced and purchased, including BTU and sulfur content:

RETENTION: 6 years

e. Gas measuring records:

RETENTION: 3 years

f. Gas pressure department reports:

RETENTION: 3 years

4.[190] Substation, transformer, pole, tower or generator records, or records of other specific component part of system, including sketches and measurements; and installation, maintenance and discontinuance information:

RETENTION: 6 years after component part replaced or its use discontinued

NOTE: All records relating to any gas pipeline designed to operate at 125 PSIG or more must be retained as long as that pipeline remains in service, per Section 255.17 (b) of 16NYCRR.

5.[191] Log book of electric or gas plant or any part of electricity or gas production, transmission and distribution system:

RETENTION: 6 years after last entry

6.[192] Charts, graphs and related data recording records

a. Summary chart, graph or equivalent record compiled from records of original entry showing long term trends and developments:

RETENTION: PERMANENT

b. Recording chart or other record of original entry, including load curve; and temperature, pressure, specific gravity or water level chart:

RETENTION: 3 years

c. Gas measuring records, when information is transferred to summary record:

RETENTION: 6 months

d. Gas measuring records, when information is not transferred to summary record:

RETENTION: 1 year

e. River flow data collected in connection with hydro-electric plant operation:

RETENTION: PERMANENT

7.[193] Municipal lighting records, including but not limited to installation, repair, inspection and replacement records for street lights and other lighting devices:

RETENTION: 6 years after device no longer in use

8.[194] Subsidiary ledgers or journals of electric or gas utility:

RETENTION: 50 years

9.[195] Service interruption records, including but not limited to storm damage, downed and severed power lines, circuit overloading or other related power failure or transmission problem, or apparatus failure reports for gas utility:

RETENTION: 6 years

10.[196] Board of Fire Underwriters' certificate:

RETENTION: 3 years

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Schedule MU-1 Electric and Gas Utility

11.[197] Records of electric or gas meter tests:

RETENTION: 2 years after subsequent test conducted, but not longer than 6 years

12.[198] Electric or gas meter history records:

RETENTION: 0 after meter no longer in use

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Schedule MU-1 Electronic Data Processing

ELECTRONIC DATA PROCESSING

GENERAL ADMINISTRATION

◆1.[668] Data processing unit subject files, correspondence, memoranda, reports, publications, and related records used to support the administration of data processing services. This item does not include local government IRM plans, long-range or strategic plans, EDP and IRM policies, records that document fiscal transactions, and any records covered by other items in this schedule:

RETENTION: 0 after superseded or obsolete

◆◆2.[669] Information resources management and data processing services plans, local government IRM plans, data processing services plans, strategic plans, and related records used to plan for information systems development, technology acquisitions, data processing

services provision, or related areas

a. Master copy of plan and essential background documentation:

RETENTION: Retain for 3 planning cycles after the plan is completed, superseded, or revised.

NOTE: Appraise these records for historical significance prior to disposition.

Records with historical value should be retained permanently. Some of these records may document the development and advancement of technology used by the local government. Contact the State Archives for additional advice in this area.

b. Copies, drafts, and routine material:

RETENTION: 0 after no longer needed

◆3.[670] Data processing policies, records of data processing policies including those covering access and security, systems development, data retention and disposition, and data ownership:

RETENTION: 3 years after policy is withdrawn, revised, updated, or superseded

◆4.[671] Data processing product/vendor and state contracts reference files, information on data processing equipment, software, and other products and their vendors:

RETENTION: 0 after no longer needed for reference

SYSTEMS AND APPLICATION DEVELOPMENT

◆1.[672] Application development project files, records created and used in the development, redesign, or modification of an automated system or application including project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and

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Schedule MU-1 Electronic Data Processing

correspondence. This item does not cover system or application documentation

(see items no. 673 and no. 674):

RETENTION: 3 years after completion of project

NOTE: In some circumstances, local governments may wish to maintain these files longer for reference. All relevant information and final documentation should be contained in system and application documentation files (see items no. 673 and no. 674).

◆2.[673] Data systems specifications, user and operational documentation describing how an application system operates from a functional user and data processing point of view including records documenting data entry, manipulation, output and retrieval (often called "system documentation records"), records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation (or other metadata), job control or work flow records, system specifications, and input and output specifications. This item does not cover data documentation and other records used to explain the meaning, purpose, or origin of data (see item no. 674):

RETENTION: 3 years after discontinuance of system, but not before system data is destroyed or transferred to new operating environment

◆3.[674] Data documentation, records generally created during development or modification and necessary to access, retrieve, manipulate and interpret data in an automated system including data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements (sometimes known as metadata):

RETENTION: 3 years after discontinuance of system or application but not before system's or application's data is destroyed or transferred to a new structure or format

NOTE: In some cases, local governments will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an

accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are appraised as archival. Application design documentation and user guides covered by item no. 673 may also serve to explain how data was interpreted and used. Contact the State Archives for additional advice in this area.

◆4.[675] Automated program listing/source code, automated program code which generates the machine-language instructions used to operate an automated information system:

RETENTION: Retain for 3 system update cycles after code is superseded or replaced.

NOTE: This item coincides with item no. 682, system backup files. It assumes that the files are maintained (backed-up) and disposed in accordance with accepted

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Schedule MU-1 Electronic Data Processing

data processing practice; i.e., that 3 generations of backups be retained (see item no. 682).

◆5.[676] Technical program documentation, paper copy of program code, program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs:

RETENTION: 1 year after replacement, modification, or related programs cease to be used

NOTE: Local governments may consider retaining documentation for critical systems for a longer period. Contact the State Archives for additional advice in this area.

◆6.[677] Test database/files, routine or benchmark data sets, related documentation, and test results constructed or used to test or develop a system:

RETENTION: 0 after no longer needed, but not before user accepts and management reviews and approves test results

COMPUTER OPERATIONS AND TECHNICAL SUPPORT

◆1.[678] Data processing operating procedures, records of procedures for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation:

RETENTION: 3 years after procedure is withdrawn, revised, updated, or superseded

◆2.[679] Data processing hardware documentation, records documenting the use, operation, and maintenance of a local government's data processing equipment including operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems:

RETENTION: 0 after the local government no longer uses related hardware and all data is transferred to and made useable in new hardware environment

NOTE: Routine records that do not contain substantial information on the maintenance history or equipment should be destroyed on an annual basis, using item no. 18 in the General section.

◆3.[680] Operating system and hardware conversion plans, records relating to the replacement of equipment or computer operating systems:

RETENTION: 1 year after successful conversion

◆4.[681] Disaster preparedness and recovery plans, records related to the protection and reestablishment of data processing services and equipment in case of a disaster:

RETENTION: 0 after superseded by revised plan

preparedness and recovery plans in a secure area off-site from the computer installation to which they refer.

◆5.[682] System backup files, copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction:

RETENTION: 0 after 3 system backup cycles

NOTE: Backups used to document transactions or retained for purposes other than system security are covered by the relevant sections of this schedule. For fiscal systems, monthly system backups are often retained for the entire fiscal year to provide an audit trail, and annual system backups are retained to meet all legal and fiscal requirements in lieu of copies of the individual master files or databases.

These records should be disposed using items from the Fiscal section of this schedule. It is advisable that for many application systems 2 or 3 copies of backups be produced during each cycle.

◆◆6.[683] System users access records, created to control or monitor individual access to a system

and its data, including but not limited to user account records and password files:

RETENTION: 0 after the individual no longer has access to the system, but not before audit requirements for the records modified by that individual have been met.

NOTE: System users access records and computer usage records may also serve some security purposes.

◆◆6a.[862] Computer system security records, records used to control or monitor the security of a

system and its data, including but not limited to intrusion detection logs, firewall logs, logs of unauthorized access, and other security logs:

RETENTION: 10 years after date of last entry

◆◆7.[684] Computer usage files, electronic files or automated logs created to monitor computer

system usage including but not limited to login files, system usage files, charge-back files, data entry logs, and records of individual computer program usage:

RETENTION: 0 after 3 system backup cycles

◆8.[685] Summary computer usage reports, summary reports and other paper records created to document computer usage for reporting or cost recovery purposes:

RETENTION: 1 fiscal year after creation

◆9.[686] Computer run scheduling records, records used to schedule computer runs including daily schedules, run reports, run requests, and other records documenting the successful completion of a run:

RETENTION: 0 after end of current fiscal year

◆10.[687] Input documents, copies of records or forms designed and used solely for data

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input and control when the data processing unit provides centralized data input services and original records are retained by the program unit:

RETENTION: 0 after all data has been entered into the system and, if required, verified

NOTE: Input records retained for fiscal audit or legal purposes, or, containing information needed by a local government, are covered by the relevant section of this schedule. Input records that document valid transactions are covered by item no. 689. Input records which serve a fiscal audit purpose may be covered by items in the Fiscal section of this schedule.

◆11.[688] Work/intermediate files, records used to facilitate the processing of a specific job/run or to create, update, modify, transfer, export, import, manipulate, or sort data within an automated system, including "macro" or "startup" file or other electronic record created to preserve a combination of data elements and/or method

of displaying these data elements

a. When export, import or relational data file is used to supply data to or receive data from other system, or to exchange data between files in this system:

RETENTION: 0 after no longer needed

NOTE: This data may have secondary value beyond the purpose for which it is created. Consider additional uses for this data in determining when it is no longer needed.

b. When all transactions are captured in a master file, central file, valid transaction file, or database, and the file is not retained to provide an audit trail:

RETENTION: 0 after the transaction is completed.

NOTE: This item does not cover intermediate files retained to recreate or document valid transactions, to serve as an audit trail, or needed for system recovery backup.

c. When electronic file is needed to recreate or document a valid transaction, such as creation of a specific report or study:

RETENTION: Retain as long as the reports, studies and other principal records for which the file is created are retained.

NOTE: A local government's ability to recreate or properly document the output may be tied to long-term retention of these records. Contact the State Archives for additional advice regarding the long-term retention of electronic records.

◆12.[689] Valid transaction files, records used to update and/or document a transaction in database or master file including valid transaction files, DBMS log, update files,

and similar records, and not retained to document a program unit action or for fiscal audit purposes:

RETENTION: 0 after 3 database/master file backup cycles

NOTE: Records used to document a program unit's actions (e.g., receipt of a voucher, issuance of a check), as opposed to a strictly data processing transaction, or needed for fiscal audit or legal purposes, are covered by the relevant sections of this schedule.

◆13.[690] Print files (not used to document a transaction), source output data extracted from the system to produce hard copy publications, printouts of tabulations, ledgers, registers, reports, or other documents when the files are not needed for audit purposes or to document program unit transactions:

RETENTION: 0 after all print runs are completed, output verified (if required), and local government has no need to reproduce the report

NOTE: Print files needed for fiscal audits or retained to document transactions are covered by the relevant sections of this schedule.

◆14.[691] Audit trail files, data generated during the creation of a master file or database used to validate a master file or database during a processing cycle:

RETENTION: 0 after 3 database/master file backup cycles

◆15.[692] Data processing unit's copies of output reports, data processing unit's copy of output reports produced for client program units:

RETENTION: 0 after output is distributed

◆16.[693] Summary or extracted data files, summary or aggregate data from a master file or database, including "snapshots" of data, created solely to distribute data to individuals or program units for reference and use, but not altered or augmented to support program-specific needs:

RETENTION: 0 after data is distributed

NOTE: Appraise these records for historical significance prior to disposition.

Some snapshots of data, created and maintained as either electronic files saved to disk, tape or diskette, or as hard-copy output such as printed maps, or in both formats, may warrant longer retention. Contact SARA for additional advice on the creation and maintenance of these records.

◆17.[694] Finding aids (indexes) or tracking systems, electronic indexes, lists, registers, and other finding aids used only to provide access to the hard copy and electronic records in the custody of the data processing unit:

RETENTION: 0 after the related hard copy or electronic records have been destroyed

NOTE: Finding aids and tracking systems of program units other than data

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processing units are covered by the relevant sections of this schedule and are frequently covered by the same item covering related program records.

◆18.[695] Automated tape library system files, automated records used to control the location, maintenance, and disposition of magnetic media in a tape library:

RETENTION: 0 after related records or media are destroyed or withdrawn from the tape library

◆19.[696] Reports on the destruction of files ("scratch reports"), records containing information on the destruction of files stored on electronic media in a tape library:

RETENTION: 0 after superseded or (if required) management review and approval

◆20.[697] Tape library control records, records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs:

RETENTION: 0 after superseded

DATA ADMINISTRATION

◆1.[698] Data/database dictionary records, usually in an automated system, used to manage data in a local government's information systems including information on data element definitions, data structures or file layout, code tables, and other data attribute information or records that explain the meaning, purpose, logical relationships, ownership, use, or origin of data:

RETENTION: 0 after discontinuance or modification of the related application but not before the application's data is destroyed or transferred to a new structure or format

◆2.[699] Data/database dictionary reports, periodic printouts from a data/database dictionary system including data element attribute reports, database schema, and related records used for reference purposes:

RETENTION: 0 after superseded or obsolete

NOTE: The official copy of essential data documentation is covered by either item no. 674 or no. 698.

USER/OFFICE AUTOMATION SUPPORT

◆1.[700] Site/equipment support files, records documenting support services provided to specific data processing equipment or installations including site visit reports, 46Schedule MU-1 Electronic Data Processing program and equipment service reports, service histories, and correspondence and memoranda

a. Site visit reports, problem and equipment service reports, and routine correspondence and memoranda:

RETENTION: 3 years after creation

b. Service histories and other summary records:

RETENTION: 0 after the related equipment is no longer in use

◆2.[701] Help desk telephone logs and reports, records used to document requests for technical assistance and responses to these requests as well as to collect information

on the use of computer equipment for program delivery, security, or other purposes:

RETENTION: 1 year after creation

◆3.[702] Software review files, records related to the review and recommendations for software for local government use including vendor information, manuals, software reviews, and related material:

RETENTION: 0 after obsolete

NETWORK/DATA COMMUNICATION SERVICES

◆1.[703] Network site/equipment support files, records documenting support services provided to specific sites and computer to computer interfaces on a network including site visit reports, trouble reports, service histories, and correspondence and memoranda

a. Site visit reports, trouble reports, and related correspondence:

RETENTION: 3 years after creation

b. Service histories and other summary records:

RETENTION: 0 after the related equipment or site is no longer in use

c. Routine records that do not contain substantial information on the maintenance history or site:

RETENTION: 1 year

◆2.[704] Inventories of circuits, automated or paper records containing information on network circuits used by the local government including circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other relevant information about the circuit:

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RETENTION: 0 after the circuit is no longer used by the local government

◆3.[705] Network or circuit installation and service files, copies of requests by local governments to service provider for data communication service, installation, or repair and response to the request including work orders, correspondence, memoranda, work schedules, and copies of building or circuitry diagrams:

RETENTION: 1 year after request is filled or repairs are made

◆4.[706] Network usage files, electronic files or automated logs created to monitor network usage including but not limited to log-in files and system usage files:

RETENTION: 0 after 3 system backup cycles after creation

◆5.[707] Network usage reports, summary reports and other records created to document computer usage for reporting or other purposes:

RETENTION: 1 fiscal year after creation

◆6.[708] Network implementation project files, local government records used to plan and implement a network including reports, justifications, working diagrams of proposed network, wiring schematics, and diagrams:

RETENTION: 0 after superseded

INTERNET SERVICES

◆1.[709] Internet services logs, electronic files or automated logs created to monitor access and use of local government services provided via the Internet, including, but not limited to, services provided via a local government gopher site, FTP (file transfer protocol), or World Wide Web site, or via Telnet services:

RETENTION: 0 after 3 backup cycles, but not before relevant audit and documentation requirements have been met

◆2.[710] Employee internet use logs, electronic files or automated logs created to monitor and control use of the Internet by employees:

RETENTION: 0 after 3 backup cycles, but not before any appropriate review and verification

ENERGY

◆◆1.[203] Energy consumption monitoring records showing use of electricity or fuel or operation of heating and/or cooling equipment, or energy audit, when not relating to facility owned or operated by local government:

RETENTION: 1 year

NOTE: Energy consumption monitoring records showing use of electricity or fuel, operation of heating and/or cooling equipment, or environmental conditions (temperature, humidity, air quality) in various parts of publicly owned or operated building or other facility, is covered by item no. 898 in the Public Property and Equipment section.

◆2.[711] Weatherization client case files, covering assistance provided to individuals and families to improve heating efficiency and reduce fuel expenditures, including but not limited to application, income documentation, description of property and work needed to improve heating efficiency, results of energy efficiency testing, description of work performed, copies of fuel bills, fuel information form, landlord agreement, notes and correspondence:

RETENTION: 6 years after date of last entry

◆3.[712] Master listing of clients participating in weatherization program:

RETENTION: 6 years

◆4.[713] Annual State plan (final copy) for weatherization assistance program:

RETENTION: 6 years

◆5.[714] Status report on clients referred to local subgrantee agency:

RETENTION: 1 year

◆6.[715] Interagency referral form, maintained by referring agency:

RETENTION: 1 year

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ENVIRONMENTAL HEALTH

NOTE: Records relating to laboratories are listed in the Public Health section, Laboratory subsection. Radiological health records are now found in that section as well. Lead poisoning records are covered by item nos. 463, 464 and 465 in the Public Health section, Miscellaneous subsection.

LOCAL REGULATORY/PERMITTING AGENCY:

ANIMAL INDUSTRY AND VETERINARY MEDICINE

◆◆1.[205] Rabies and animal bite records

a. Antirabies protection certificate:

RETENTION: 5 years

b. Records concerning certification of area for rabies, including but not limited to correspondence, notices, and copy of resolution:

RETENTION: 20 years

c. Investigation records for bite or other potentially dangerous contact with animal, including potentially rabid animal:

RETENTION: 6 years

MISCELLANEOUS

1.[208] Environmental disturbance permit file:

RETENTION: PERMANENT

2.[210] Property acquisition or regulation file documenting acquisition of real property or easements for drainage control or other environmental health purposes:

RETENTION: PERMANENT

◆◆3.[212] Master summary record of applications relating to realty subdivisions, private water supply, private sewage disposal systems, or hazardous substance (or petroleum) spill, release or investigation records:

RETENTION: PERMANENT

◆◆4.[209] Spill, release or investigation records covering hazardous substance or petroleum

a. Records of investigation of spill or release of hazardous substance exceeding minimum reportable quantity (as defined in 6NYCRR, Section 597.2, Table 1):

RETENTION: PERMANENT

b. Records of investigation of spill or release of hazardous or toxic substance not exceeding minimum reportable quantity (as defined in 6NYCRR, Section 597.2, Table 1):

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RETENTION: 7 years after close of investigation

c. Records of investigation of spill or release of petroleum (as defined in 6NYCRR, Section 597.1 (7)) exceeding 25 gallons:

RETENTION: PERMANENT

d. Records of investigation of spill or release of petroleum (as defined in 6NYCRR, Section 597.1 (7)) not exceeding 25 gallons:

RETENTION: 7 years after close of investigation

◆◆5.[213] State and local sanitary and related code violation records, including locally enacted regulations, such as "clean indoor air acts"

a. Violation files:

RETENTION: 3 years after violation abated

b. Alleged but unfounded violation files:

RETENTION: 1 year after last entry

c. Master summary record (log or register) of complaints, violations and inspections:

RETENTION: 3 years after last entry

◆◆6.[863] Records of minor repairs, enlargements or cleaning of drainage ditches, or in drainage

districts, including but not limited to those defined in Sections 15-1943 and 15-1945,

Environmental Conservation Law:

RETENTION: 6 years after date of completion of work

◆◆7.[864] Hazardous waste site identification records, including survey of suspected hazardous waste disposal sites, including that created pursuant to Section 27-1303, Environmental Conservation Law; copy of state registry listing of sites for a specific jurisdiction; review of registry listings; and determination and notification records for newly identified sites:

RETENTION: PERMANENT

◆◆8.[865] Informational copies of reports and studies, received from environmental facilities or

from county or state agencies, including copies of reports created pursuant to Section 5-1.72 of 10NYCRR, public health hazard notification, or relating to unsatisfactory water samples, watershed rules violations, and water quality monitoring violations, including testing records and records of action taken by supplier of water to correct violations:

RETENTION: 0 after no longer needed

◆◆9.[866] Environmental restoration project records, created pursuant to Subpart 375-4 of 6NYCRR

a. Application for state assistance; feasibility studies; successful bids; plans, specifications and designs; project description; in-progress and completion photographs; inspection reports; final plans, maps, designs, sketches, architectural drawings and photographs; structure demolition records; environmental impact statement; annual project statement; copies of project review records; fiscal and other final reports; significant change orders; property disposition records; and

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significant correspondence:

RETENTION: PERMANENT

b. Supplementary documentation, including interim fiscal reports, claims, contracts, vouchers, work orders, memoranda, worksheet, non-significant change orders; routine correspondence, detailed construction specifications and draft or intermediary plans, maps, designs, sketches or drawings:

RETENTION: 6 years after completion of project or date of most recent entry, whichever is longer

c. Unsuccessful bids, to which contracts are not awarded:

RETENTION: 6 years

d. All records, when project is proposed but not undertaken:

RETENTION: 6 years after date of last entry

NOTE: Appraise these records for historical significance prior to disposition.

Certain records for environmental restoration projects that are proposed but not undertaken may have research value in documenting property where hazardous substances are located or which is otherwise adversely affected, and should be retained permanently. Contact the State Archives for additional advice.

ENVIRONMENTAL FACILITIES: GENERAL

◆◆1.[867] Capital construction or public improvement project file for environmental facility, covering water treatment plant; public water supply system; wastewater treatment plant and disposal system; and solid waste management facility (including landfill gas recovery facility)

a. Feasibility studies; successful bids; plans, specifications and designs; project description; in-progress and completion photographs; construction inspection reports; final or "as built" plans, maps, designs, sketches, architectural drawings and photographs; environmental impact statement; annual project statement; fiscal and other final reports; significant change orders; retrofitting records; and

significant correspondence:

RETENTION: PERMANENT

NOTE: Some draft or intermediary plans, maps, designs, sketches or architectural drawings, or detailed construction specifications may need to be retained permanently under part "a," above, if they document significant changes with longterm fiscal and other implications. Local governments should review these records for these possible uses prior to disposition under part "b," below. Contact the State Archives for additional advice.

b. Supplementary documentation, including interim fiscal reports, claims, contracts, vouchers, work orders, memoranda, worksheet, non-significant change orders; routine correspondence, detailed construction specifications and draft or intermediary plans, maps, designs, sketches or architectural drawings:

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RETENTION: 6 years after completion of project or date of most recent entry, whichever is longer

c. Unsuccessful bids, to which contract is not awarded:

RETENTION: 6 years

d. All records, when project is proposed but not undertaken:

RETENTION: 6 years after date of last entry

NOTE: Appraise these records for historical significance prior to disposition.

Certain records for important environmental facility projects that are proposed but not undertaken may have historical and other research value and should be retained permanently. Contact the State Archives for additional advice.

◆◆2.[223] Permit or registration files for construction, operation and maintenance of environmental facility, covering water treatment plant; public water supply system;

wastewater treatment plant and disposal system; and solid waste management facility (including landfill gas recovery facility):

a. Permit, application, approval or disapproval; related plans, maps, specifications and engineering drawings; variance from New York state regulations, approval of use of emergency source of water, approval to supply water to or take water from other system, approval of fluoridation process, progress and inspection reports, final and annual reports, summaries of data collected relating to permit issuance, and significant correspondence:

RETENTION: PERMANENT

b. Routine correspondence, cover and internal memoranda, draft or intermediary plans, designs and photographs, detailed data that has been summarized in other records, and other records of transitory value:

RETENTION: 6 years after date of last entry

◆◆3.[225] Component part sketches, measurements, installation, inspection and maintenance records:

RETENTION: 6 years after part replaced or its use permanently discontinued

◆◆4.[868] Automated operating system records, covering Supply Control and Data Acquisition (SCADA) or equivalent systems, covering operation, monitoring, problems or emergencies, and maintenance of environmental facility

a. Detailed data collected from sensors or monitors, and detailed reports generated from such data:

RETENTION: 0 after no longer needed

NOTE: Because of the amount of detailed data collected by such systems, such data may only be maintained online for a limited period of time. Some of this data may need to be retained longer to meet both administrative needs and legal requirements, such as those contained in Section 756.2(c), 6NYCRR. It is recommended that local government environmental facilities store this data offline

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long enough to meet such requirements. Also, maintenance of a history file (see below) containing the most significant data elements may satisfy these administrative and legal needs.

b. System operation history file, containing significant data and/or periodic data snapshots, generated from detailed system data:

RETENTION: 5 years

NOTE: Appraise these records for archival value. History files may contain valuable information to document system operation over a period of time. Contact the State Archives for additional advice in this area.

◆◆5.[226] Log or equivalent record containing information such as changes in pressure and level,

proportion of chemicals present, operational changes, problems and emergencies, and personal observations

a. Containing summary information collected at periodic intervals and information on significant readings, events or observations:

RETENTION: PERMANENT

b. Containing all or routine information collected at frequent intervals:

RETENTION: 5 years

NOTE: If no logs containing summary information are generated, local government environmental facilities may wish to retain all or some records covered by part "b" of this item, for both long-term administrative use and for potential research purposes.

NOTE: Certain inspection logs of solid waste management facilities must be retained for 7 years after date of inspection. See item no. 886, below.

◆◆6.[227] Charts, graphs and similar records of pumpage, flow, pressure, emissions, temperature,

levels of chemicals, and related information

a. Summary records showing long-term trends and developments:

RETENTION: PERMANENT

b. Records of original entry, containing significant information:

RETENTION: 10 years

c. Records of original entry, containing only routine information with no long-term value:

RETENTION: 1 year

NOTE: Some of these records may need to be retained longer to meet both administrative needs and legal requirements, such as those contained in Section 756.2(c), 6NYCRR. Consult your attorney or counsel and the State Department of Environmental Conservation to determine which records, if any, must be retained longer than 1 year.

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d. Intermediary records, compiled from records of original entry, but not showing long-term trends and developments:

RETENTION: 5 years

7.[228] Operator qualifications records:

RETENTION: 6 years after disapproval, renewal, or expiration of approval

◆◆8.[869] Reports, studies or data queries, including those generated from SCADA or equivalent

environmental facility operating system (including documentation of macros, queries, and reports), when not covered by specific report items in this section:

RETENTION: 0 after no longer needed

NOTE: Appraise the records for archival value. Reports and studies documenting various aspects of system operation may be valuable for long-term planning and for historical and other research. Contact the State Archives for additional advice.

◆◆9.[870] Environmental facility alarm, problem and emergency records

a. Narrative records documenting serious problems or emergencies, including charts, graphs, and data necessary to support such records:

RETENTION: PERMANENT

b. Records documenting minor or routine alarms or problems, including detailed data generated by automated systems when certain parameters are exceeded:

RETENTION: 5 years

c. Contingency or similar plans to deal with emergency situations:

RETENTION: PERMANENT

ENVIRONMENTAL FACILITIES:

PUBLIC WATER SUPPLY

◆◆1.[229] Permits, approvals, and related records, excluding those related to public water supply

system construction or operation, covered by item no. 223, above.

a. Approval necessary for connection to public water supply system:

RETENTION: 6 years after connection no longer in use, or after denial of application

b. Waiver or variance from mandatory disinfection or other requirements:

RETENTION: 5 years after superseded or invalid

c. Permit files for fluoridation plans, backflow prevention devices, fire pump chlorinators, distribution of bottled or bulk water, or for interconnecting water systems, where local government agency issues permit:

RETENTION: 6 years after cessation of operation or denial of application

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d. Informational copies of permit records for fluoridation plans, backflow prevention devices, fire pump chlorinators, distribution of bottled or bulk water, or for interconnecting water systems, where State Department of Health issues permit:

RETENTION: 0 after no longer needed

◆◆2.[230] Reports and studies relating to plant, system or facility operation

a. Annual and final reports (including annual report submitted to federal Environmental Protection Agency [EPA]), comprehensive water supply study and report, special studies and detailed reports, including facility inspection reports, reports on watershed rules and rules violations, sanitary surveys, comprehensive performance evaluations, environmental facility monitoring, overall operational reports and reports of emergencies, containing summary or detailed information of long-term value:

RETENTION: PERMANENT

b. Reports and studies covering routine information only, not covered by other item in this Schedule:

RETENTION: 0 after no longer needed

c. Monthly operational report submitted to New York State Department of Health:

RETENTION: 5 years

NOTE: Appraise the records for archival value. Reports and studies documenting various aspects of system operation may be valuable for long-term planning and for historical and other research. Contact the State Archives for additional advice.

d. Records relating to water quality monitoring violations, watershed rules violations or unsatisfactory water samples, and major changes in aquifer or watershed, including test results and records of corrective actions taken:

RETENTION: 5 years after superseded

NOTE: Appraise these records for long-term uses prior to disposition, warranting longer, if not permanent, retention. These records may be useful in the future in documenting cases of serious drinking water contamination. Contact the State Archives for additional advice.

◆3.[716] Water systems periodic operation reports, created pursuant to 10NYCRR, Section 5-1.72

(d) and forwarded to county health department or regional office of New York State Department of Health

a. Report of microbiological sample results (copy retained by supplier of water):

RETENTION: 5 years

b. Report of surface water systems, showing chemical and turbidity analyses, (copy retained by supplier of water):

RETENTION: 10 years

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◆◆4.[231] Reports not relating directly to system or treatment facility construction or operation

a. Operational and testing records for fire pump chlorinator, backflow prevention device, where local agency issues permit:

RETENTION: 5 years

b. Informational copies of operational and testing records for fire pump chlorinator, backflow prevention device, where State Department of Health issues permit:

RETENTION: 0 after no longer needed

c. Report of bottled or bulk water distribution:

RETENTION: 3 years

d. Small privately owned water system detailed evaluations, including sanitary surveys and comprehensive performance evaluations:

RETENTION: 10 years after superseded

e. Interstate water carrier reports and other records:

RETENTION: 0 years

◆◆5.[871] Automated hydrological monitoring system records, covering system infrastructure, system service area or aquifer

a. Detailed data collected from sensors or monitors (both collected by this system or obtained from another source, such as a SCADA system), and detailed reports generated from such data:

RETENTION: 0 after no longer needed

NOTE: Because of the amount of detailed data collected by such systems, such data may only be maintained online for a limited period of time. Some of this data may need to be retained longer to meet both administrative needs and legal requirements. In some cases it may be necessary to maintain this detailed data as long as reports or studies based on the data are retained. It is recommended that local government environmental facilities store this data offline long enough to meet such requirements. Also, maintenance of a history file (see below) containing the most significant data elements may satisfy these administrative and legal needs.

b. System operation history file, containing significant data and/or periodic data snapshots, generated from detailed system data:

RETENTION: 5 years

NOTE: Appraise these records for archival value. History files may contain valuable information to document system operation over a period of time. In some cases it may be necessary to maintain this detailed data as long as reports or studies based on the data are retained. Contact the State Archives for additional advice in this area.

◆◆6.[872] Reports, studies, analytical models or data queries, generated from hydrological

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monitoring system (including documentation of macros, queries, and reports), when not covered by specific report items in this section

a. Reports and studies documenting major system operational capabilities and proposed modifications, long-range water use planning and aquifer or watershed protection, and/or for long-term planning, for historical and other research, or leading to major future capital expenditures:

RETENTION: PERMANENT

b. Report and studies of short-term or transitory value, containing incomplete or otherwise invalid data, or drafts generated in the process of creating reports and studies covered by part "a," above:

RETENTION: 0 after no longer needed

◆◆7.[873] Water supply emergency plan, prepared pursuant to Section 1125, Public Health Law and

Section 5-1.33 of 10NYCRR, including revisions and review records

a. Copy maintained by public water supplier:

RETENTION: PERMANENT

b. Copy held by local health agency:

RETENTION: 5 years after superseded

ENVIRONMENTAL FACILITIES:

WASTEWATER TREATMENT

◆◆1.[874] Permits, approvals, and related records, excluding those related to system or treatment

facility construction or operation, covered by item no. 223, above, or those relating to receiving significant industrial or high-discharge users, covered by item no. 875, below.

a. Approval necessary for connection to wastewater disposal system:

RETENTION: 6 years after denial or approval

b. Permit for septic tank cleaner or industrial waste collectors to deliver waste to treatment facility:

RETENTION: 6 years

◆◆2.[875] Records relating to receipt and pretreatment of significant industrial or other high discharge

waste

a. Permits for discharge of effluent into wastewater treatment system and related records, such as copies of SPDES permits issued to waste generator, discharge monitoring reports, detailed intake records, and laboratory test results:

RETENTION: 6 years after denial, renewal or expiration of permit

b. Summary records of waste received for treatment, including records relating to waste received that exceeds acceptable volume or content parameters:

RETENTION: 20 years

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NOTE: Certain records covered by parts "b" and "c" relating to significant industrial or other high-discharge waste generation and disposal may warrant longer, if not permanent, retention, for administrative or research reasons.

Contact the State Archives for additional information.

c. Survey or similar records of significant industrial or other high-discharge waste generators in an area served by a specific wastewater treatment facility:

RETENTION: 5 years after superseded or obsolete

◆◆3.[876] Reports and studies relating to plant, system or facility operation

a. Annual and final reports (except annual report submitted to federal Environmental Protection Agency [EPA]), comprehensive wastewater study and report, special

studies and detailed reports, including facility inspection reports, sanitary surveys, environmental facility monitoring, overall operational reports and reports of emergencies, containing summary or detailed information of long-term value:

RETENTION: PERMANENT

b. Annual report submitted to federal Environmental Protection Agency (EPA), also known as "503 report":

RETENTION: 5 years

NOTE: As a rule this report does not contain as useful information as do the monthly discharge and operation reports, covered by part "d," below. However, facilities which include more information in this report may wish to retain these reports longer, even permanently, for administrative or research reasons. Contact the State Archives for additional information.

c. Filter inspection reports (such as sieve analysis) for wastewater treatment system:

RETENTION: 5 years

d. Monthly discharge monitoring and operation reports, submitted to New York State Department of Environmental Conservation in conjunction with SPDES permit requirements:

RETENTION: 5 years after facility no longer in use

NOTE: Appraise the records for archival value. Data contained in these reports may be valuable for long-term planning and for historical and other research, warranting permanent retention of these records. Contact the State Archives for additional advice.

e. Septic tank cleaner or industrial waste collector reports and related records:

RETENTION: 6 years

f. Reports and studies covering routine information only, not covered by other item in this Schedule:

RETENTION: 0 after no longer needed

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◆◆4.[877] Records relating to sludge, biosolids, unprocessable solids or other waste byproduct produced as a result of wastewater treatment process, including both detailed records of waste byproducts generated, including laboratory test results and individual load transfer records, and summary records of waste byproducts produced (including unprocessable solids) and disposed of by facility:

RETENTION: 5 years

NOTE: Certain records relating to sludge, biosolids, unprocessable solids or other waste byproduct produced as a result of wastewater treatment process may warrant longer, if not permanent, retention, for administrative or research reasons. Contact the State Archives for additional information.

◆◆5.[878] Records relating to leachate received from solid waste management facilities for processing, including both detailed records of leachate received, including laboratory test results and individual load delivery records and summary reports and other records of leachate received and disposed of:

RETENTION: 5 years

NOTE: Certain records relating to leachate received from solid waste management facilities for processing may warrant longer, if not permanent, retention, for administrative or research reasons. Contact the State Archives for additional information.

◆◆6.[879] Co-composting records, including but not limited to testing records for materials used and product generated, and marketing and distribution records, including both detailed records, including laboratory test results and individual load delivery records and summary reports and other records of materials used and compost generated and its distribution:

RETENTION: 5 years

NOTE: Certain records relating to co-composting may warrant longer, if not permanent, retention, for administrative or research reasons. Contact the State Archives for additional information.

ENVIRONMENTAL FACILITIES:

SOLID WASTE MANAGEMENT FACILITIES

NOTE: Records relating to co-composting facilities are covered in the Environmental Facilities: Wastewater Treatment subsection, immediately above.

NOTE: Records relating to disposal of sludge, biosolids, unprocessable solids or other waste byproduct produced as a result of wastewater treatment process, are covered by item no. 877, above. Records relating to public educational recycling programs are covered by item nos. 11 and 12 in the General section.

◆◆1.[880] Permit for use of solid waste management facility by business or resident of local government:

RETENTION: 6 years after denial or expiration of permit

◆◆2.[881] Reports and studies relating to plant, system or facility operation
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a. Annual summary reports, final reports, special studies and detailed reports, including facility inspection reports, environmental facility monitoring, overall operational reports and reports of emergencies, water quality records, containing summary or detailed information of long-term value:

RETENTION: PERMANENT

b. Quarterly or monthly or operational reports, including reports of exceedances generated by resource recovery facilities and condensate sampling reports of landfill gas recovery facilities:

RETENTION: 10 years

NOTE: Appraise the records for archival value. Reports documenting various aspects of system operation may be valuable for long-term planning and for historical and other research. Contact the State Archives for additional advice.

c. Detailed tonnage or similar reports (including summary reports or other records generated from individual load delivery records) which contain significant information, for solid waste management facility:

RETENTION: 10 years

d. Monthly discharge monitoring and operation reports, submitted to New York State Department of Environmental Conservation in conjunction with SPDES permit requirements, for use of water as coolant, including thermal water temperature data:

RETENTION: 5 years

e. Reports and other records of unauthorized waste collected and its final disposition, created pursuant to Section 360-1.14 (i-1), 6NYCRR:

RETENTION: 5 years

f. Reports and studies covering routine information only, not covered by other item in this Schedule:

RETENTION: 0 after no longer needed

◆◆3.[232] Hazardous waste collection and disposal records

a. Summary reports and other records of substances and quantities collected and disposed of by outside transfer:

RETENTION: PERMANENT

b. Individual load delivery and other detailed records, including manifest form:

RETENTION: 10 years

NOTE: Certain records covered by part "b" may warrant longer retention for legal and administrative reasons, because of the toxic nature of materials collected and transported for disposition at another site. Contact your attorney or counsel to

determine if longer retention of these records is necessary.

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c. Contract for removal of materials collected, along with related performance bond or certificate of insurance:

RETENTION: 6 years after superseded or invalid

NOTE: For local governments which generate hazardous waste but do not operate programs to collect and dispose of hazardous waste, see item no. 918 in the Public Property and Equipment section for records covering hazardous waste generation.

◆◆4.[233] Individual load delivery records for solid waste management facility (including materials

recycling facility - MRF), including "scalehouse" information records

a. Individual load delivery records for residential waste:

RETENTION: 6 years*

b. Individual load delivery records for other than residential waste:

RETENTION: 10 years*

c. Summary reports and other records created from individual load delivery records:

RETENTION: 10 years

* NOTE: The individual load delivery records may be disposed of after 1 year, providing the summary records created from them contain sufficient information on the date of disposal, name of the generator, transporter and disposer of the waste, types and quantity of waste disposed. To ascertain if the summary records suffice to meet requirements of the State Department of Environmental Conservation, contact D.E.C.'s Division of Solid and Hazardous Materials at (518) 402-8660.

d. Reports and studies covering routine information only, not covered by other item

in this Schedule:

RETENTION: 0 after no longer needed

e. Automated "scalehouse" data file, containing information on type, weight and source of waste collected and disposed of, as well as billing information:

RETENTION: 10 years after information is superseded or invalid

◆◆5.[234] Proof of liability insurance coverage (insurance policy, certificate of insurance or equivalent record), and proof of financial assurance for solid waste management facility

a. For landfill:

RETENTION: 30 years after closure of landfill

b. For solid waste management facility other than landfill:

RETENTION: 6 years after closure of facility

◆◆6.[235] Recycling marketing records, including but not limited to annual, final or summary reports and studies, and background files on markets and materials:

RETENTION: 6 years

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NOTE: Routine marketing reports and other records are covered by item no. 881f, above.

◆◆7.[236] Recycling waste collection annual or summary records and reports, including necessary

supporting data:

RETENTION: PERMANENT

◆◆8.[882] Records relating to ash, leachate, or other waste byproduct generated and/or disposed

of by solid waste management facility

a. Detailed records of waste byproducts generated, including laboratory test results, leaching potential test report and individual load transfer records:

RETENTION: 5 years

b. Summary records of waste byproducts generated and/or disposed of by facility:

RETENTION: 10 years

NOTE: Certain records covered by parts "a" and "b" relating to ash, leachate other waste byproduct generated and/or disposed of by solid waste management facility may warrant longer, if not permanent, retention, for administrative or research reasons. Contact the State Archives for additional information.

◆◆9.[883] Local solid waste management plan, created pursuant to Section 27-0107, Environmental

Conservation Law, covering all updates, and including necessary supporting documentation:

RETENTION: PERMANENT

◆◆10.[884] Research, development or demonstration project or program files, including required

permits and related records created pursuant to Section 360-1.13, 6NYCRR, official copy of publications, videotapes, or informational literature prepared as a result of the project, background materials and supporting documentation:

RETENTION: 6 years after project or program ends

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. If research, development or demonstration projects or programs deal with significant subjects of a scientific or public improvement nature, then certain documentation from these files, such as summary reports and resulting publications, should be retained permanently.

◆◆11.[885] Self-inspection records of solid waste management facility, created pursuant to Section

360-1.14 (f-3) and (i-2), including inspection log:

RETENTION: 7 years from date of inspection

◆◆12.[886] Landfill closure records, including but not limited to site investigation records, conceptual

and final closure plans, environmental and facility monitoring records, close and postclosure registration report, closure construction certification report, and periodic inspection reports

a. All records, except periodic routine inspection reports, routine notes, memoranda, correspondence and detailed data collected as part of project:

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RETENTION: PERMANENT

b. Routine notes, memoranda, correspondence and detailed data collected as part of project:

RETENTION: 30 years after date of closure

c. Periodic routine inspection reports:

RETENTION: 7 years after date of closure

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Schedule MU-1 Environmental Management

ENVIRONMENTAL MANAGEMENT

(CONSERVATION ADVISORY COUNCIL)

1.[242] Natural resource inventory and listing of open areas and wetlands, including official copy of final inventory or report, final maps, surveys, photographs and background materials and supporting documentation:

RETENTION: PERMANENT

◆2.[243] Environmental quality review records

a. Environmental impact statements and related reports:

RETENTION: PERMANENT

b. Background materials and supporting documentation used in preparing

statements and reports:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. In the case of environmental impact statements prepared for major projects, supporting documentation may be very valuable, and the State Archives suggests local governments consider retaining these records permanently. Contact the State Archives for additional advice in this area.

◆3.[244] Environmental protection and natural resources management plan

a. Final plan and report:

RETENTION: PERMANENT

b. Background materials and supporting documentation:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Supporting documentation may be very valuable, and the State Archives suggests local governments consider retaining these records permanently. Contact the State Archives for additional advice in this area.

◆4.[717] Fish stocking and other fishery records for lakes and streams

a. Fishery surveys, including detailed collection records:

RETENTION: PERMANENT

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b. Records of fish stocking:

RETENTION: 40 years

c. Other fishery records, including notes and routine correspondence:

RETENTION: 0 after no longer needed

◆5.[718] Lake, river, stream or watershed study files

a. Final and interim reports and studies, maps, photographs, significant correspondence and essential data collected as part of study:

RETENTION: PERMANENT

b. Notes, drafts, routine correspondence and non-essential data:

RETENTION: 0 after no longer needed

◆◆6.[887] Flood control and beach erosion records

a. Flood insurance maps, including all updates:

RETENTION: PERMANENT

b. Other records, such as shoreline and flood hazard boundary maps, flood insurance surveys, and storm damage reports, and including records provided local officials by the State Department of Environmental Conservation, but excluding flood insurance maps:

RETENTION: 0 after superseded or obsolete

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. These records may be valuable for areas in the state where beach erosion and flood control have a major impact. Contact the State Archives for additional advice in this area.

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Schedule MU-1 Fiscal

FISCAL

AUDIT

1.[260] Report of audit of financial affairs

a. Audit filed pursuant to Section 35, General Municipal Law, conducted by

New York State Comptroller's Office or by an outside auditing firm:

RETENTION: PERMANENT

b. Other external audits:

RETENTION: 6 years

c. Internal audits, conducted by local government officials:

RETENTION: 6 years

2.[261] Audit background documentation, including summaries, posting records, and related records created by an auditing office as part of the auditing procedure:

RETENTION: 6 years

3.[262] Audit hearing or review file:

RETENTION: 6 years after audit accepted

BANKING AND INVESTMENT

NOTE: Section 239.7 of the Banking Law contains a 20 year statute that applies to certain records of monies held in any account in a "savings bank" (as defined in Section 2.4, Banking Law). While most local governments are prohibited by law from depositing monies in a savings bank, some local governments may have some funds deposited in a savings bank. In these instances, records covered by item no. 264, and possibly items nos. 263, 265, 267 and 268, below, depending on the nature of the account and what information these records contain, may

need to be retained for 20 years. If you have funds deposited in a savings bank, and need additional information on this subject, contact the State Archives.

1.[263] Banking communications, including but not limited to bank statement, reconciliation, notification of voiding or return of check, cancellation of payment, or other notice for checking or savings account:

RETENTION: 6 years

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2.[264] Canceled check (including payroll check), or other instrument of payment, such as bank check, warrant check, order check, or order to fiscal officer to pay when used as a negotiable instrument, including voided check:

RETENTION: 6 years

NOTE: It is recommended that a list of destroyed unused checks be created and maintained for legal or audit purposes.

3.[265] Copy of check or check stub:

RETENTION: 6 years

4.[266] Depository agreement, including designation of depository, bond or surety, or other record relating to deposition of local government funds:

RETENTION: 6 years after agreement, contract, designation, bond or surety has expired or been superseded or rescinded

5.[267] Deposit book for checking account:

RETENTION: 6 years after date of most recent entry

6.[268] Deposit book for savings account:

RETENTION: 6 years after cancellation

7.[269] Deposit slip:

RETENTION: 6 years

◆8.[273] Master summary record of bonds, notes, or securities purchased by the government for investment, identifying the security, the fund for which held, the place where kept, and listing the date of sale and the amount realized:

RETENTION: PERMANENT

◆9.[274] Periodic reports and similar records of yield received from or status of bonds, notes, securities or other obligations purchased for investment:

RETENTION: 6 years after bond issue retired

BONDS AND NOTES

◆NOTE: The following record series provide disposition authority for records related to the issuance of bonds, notes or obligations. However, the actual bonds, notes or obligations are not covered by these items. Instead, bonds, notes or obligations may only be destroyed pursuant to Section 63.10 of the Local Finance Law. Questions should be addressed to the Office of the State

Comptroller, Division of Legal Services, 110 State Street, Albany, NY 12236; phone, (518) 474-5586.

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◆1.[270] Bond issue preparation file, covering bonds issued by local governments

a. Master summary record of bonds issued:

RETENTION: PERMANENT

b. Other records, including those relating to bond attorneys, preparation of the prospectus, prospectus distribution to bond buyers, bond printing, list of prospective or actual buyers, bond printing bids, bond ratings, and proof of publication of notice of estoppel:

RETENTION: 6 years after bond issue retired

2.[271] Bond or note issue and cancellation register, including information on the type, amount, number of obligations in issue, rate of interest, date of maturity, holders, cancellation of the bond or note, and other pertinent information:

RETENTION: 6 years after cancellation of last bond or note

◆3.[272] Debt-contracting power statement filed with Office of State Comptroller before sale of bonds:

RETENTION: 6 years after bond issue retired

◆4.[719] Records relating to exclusion of self-liquidating indebtedness by a municipality,

including copy of application filed with Office of State Comptroller, notice and proof of publication, and State Comptroller's written certificate:

RETENTION: 6 years after date of certificate

BUDGET

◆1.[51] Budget preparation file for budget request or estimate submitted by department head, including but not limited to the preliminary or tentative budget, budget appropriation and staffing requests, estimates of revenues or expenditures, narrative of services, budget message, budget hearing and review files, and related records:

RETENTION: 6 years

2.[54] Annual budget

a. Official copy when not included in minutes:

RETENTION: PERMANENT

b. When budget is included in minutes:

RETENTION: 0 after officially recorded in minutes

c. Reporting office copy:

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RETENTION: 0 after no longer needed

3.[55] Special budget filed with State or Federal agency:

RETENTION: PERMANENT

4.[56] Budget status report on allocation, receipts, expenditures, encumbrances, and unencumbered funds

a. Cumulative report:

RETENTION: 6 years

b. Monthly or quarterly report:

RETENTION: 1 year

5.[57] Budgetary change request, (if not included in minutes) including approval or

denial for change in approved budget and including but not limited to transfer of funds from one budget item to another, overtime authorization, or request for supplemental funds:

RETENTION: 6 years

◆6.[720] Copies of county, special district or other budgets, received and maintained for informational purposes:

RETENTION: 0 after no longer needed

CLAIMS AND WARRANTS

◆1.[275] Claim for payment (approved or disallowed), including claim, vendor's voucher and bill:

RETENTION: 6 years

2.[277] State or Federal-State reimbursement claim file, including but not limited to summary and detail of claim, worksheets and other supporting documents:

RETENTION: 6 years

3.[278] Summary record of outstanding or paid warrants or claims:

RETENTION: 6 years

4.[279] Notice of claim record and index as required by Section 50-f of the General Municipal Law:

RETENTION: 6 years after final disposition of claim

5.[280] Order or warrant to pay monies

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a. For any funds held in a savings bank:

RETENTION: 20 years

b. For any funds not held in a savings bank:

RETENTION: 6 years

6.[281] Outstanding warrants listing, including adding machines tapes:

RETENTION: 6 years

◆◆7.[888] Assignment of claim:

RETENTION: 6 years after satisfaction or 10 years, whichever is less

GENERAL ACCOUNTING AND MISCELLANEOUS

◆1.[245] General ledger showing summary receipts and disbursements from all funds and accounts:

RETENTION: 6 years after last entry

NOTE: Appraise these records for historical significance prior to disposition.

Records with historical value should be retained permanently. General ledgers containing detailed entries that include information on nature of transaction and parties involved may be valuable in documenting financial transactions involving a local government.

◆2.[246] Subsidiary ledger providing details of the general ledger accounts:

RETENTION: 6 years after last entry

NOTE: This does not apply to subsidiary ledgers of municipal electric utilities.

See item no. 194 in the Electric and Gas Utility section.

NOTE: Appraise these records for historical significance prior to disposition.

Records with historical value should be retained permanently. Subsidiary ledgers containing detailed entries that include information on nature of transaction and parties involved may be valuable in documenting financial transactions involving a local government, if this detailed information is not contained in general ledgers.

◆3.[247] Journal recording chronological entries of all fiscal transactions:

RETENTION: 6 years after last entry

NOTE: Appraise these records for historical significance prior to disposition.

Records with historical value should be retained permanently. Journals containing detailed entries that include information on payor, payee and purpose may be valuable in documenting financial transactions involving a local government.

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4.[248] Accounting register, including but not limited to check register, transfer of funds register, encumbrance register, and register of claims presented for payment and paid claims:

RETENTION: 6 years after last entry

5.[249] Cash transaction record showing cash received from collection of various fees and petty cash disbursed:

RETENTION: 6 years

6.[250] Tolls or fares collection record, including but not limited to record of receipts and log of operations:

RETENTION: 6 years

7.[251] Daily cash record, including adding machine tapes, cashier's slips showing daily cash receipts and analysis of cash receipts:

RETENTION: 6 years

8.[252] Notice of encumbrance indicating funds encumbered and amount remaining encumbered:

RETENTION: 6 years

9.[253] Past due account fiscal records and summaries:

RETENTION: 6 years after account satisfied

10.[254] Intermediary fiscal record of receipts and disbursements, including but not limited to detail record, analysis, proof sheet or trial balance worksheet, and adding machine tapes:

RETENTION: 6 years

11.[255] Abstract of receipts, disbursements, or claims:

RETENTION: 6 years

12.[256] Billing records covering services provided by local government

a. Customer's individual account:

RETENTION: 6 years after last entry

b. Records used to determine billing and charges including "flat rate"

computation record and copies of bills and charge slips:

RETENTION: 6 years

c. Billing address records:

RETENTION: 0 after superseded or obsolete

13.[257] Bill of sale of property owned by local government other than real property:

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RETENTION: 6 years

14.[258] Sales tax records, covering sales tax collected by local governments and transmitted to State Department of Taxation and Finance:

RETENTION: 6 years

15.[259] Tax exemption records, showing that local government is exempt from paying sales, use or other taxes:

RETENTION: 1 year after superseded or obsolete

◆16.[721] Payment recoupment records, documenting the process of recovering monies paid erroneously by local government to employee, vendor or other payee:

RETENTION: 6 years after date of most recent entry in record

17.[282] Receipt (received) or copy of receipt (issued) other than for payment of taxes:

RETENTION: 6 years

◆18.[722] Grant, award or gift files, covering grants, awards and gifts given by local governments to other local governments, not-for-profit corporations, businesses or individuals

a. Master summary record of grants, awards or gifts:

RETENTION: PERMANENT

b. Detailed records of grants, awards and gifts, excluding master summary record:

RETENTION: 6 years

◆◆19.[723] Credit card records, documenting payments received by credit cards or electronic transactions, including credit card payment receipts, and statements showing amounts of payments received and fees deducted:

RETENTION: 6 years

PAYROLL

NOTE: The copy of payroll, or payroll report, submitted to civil service office for certification or approval, is covered by item no. 385 in the Personnel/Civil Service section, Civil Service subsection.

NOTE: The State Archives does not prescribe the amount of detail and nature of information necessary to be maintained for salary verification for retirement and social security purposes. Contact the Office of the State Comptroller or other retirement system to verify that you are

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maintaining the necessary payroll information.

◆1.[345] Payroll, including information on gross and net pay, base pay, taxes, and other deductions

a. Year-end payroll, including detailed information necessary for salary verification for retirement and social security purposes:

RETENTION: 55 years

b. Periodic payroll, including detailed information necessary for salary verification for retirement and social security purposes, when no year-end

payroll is maintained or year-end payroll does not contain this required detailed information:

RETENTION: 55 years

c. Periodic payroll, not including detailed information necessary for salary verification for retirement and social security purposes:

RETENTION: 6 years

d. Warrant authorizing payment of salaries based on a specific payroll, if maintained separate from payroll itself:

RETENTION: 6 years

e. Preliminary draft of payroll:

RETENTION: 0 after warrant authorizing payment of salaries is signed

f. Municipality's information copy of school, fire or special district payroll:

RETENTION: 0 after no longer needed

◆◆2.[346] Payroll or related report covering all employees or an individual employee, and not covered by specific item in this section

a. When needed for audit or other fiscal purposes:

RETENTION: 6 years

b. When not needed for audit or other fiscal purposes:

RETENTION: 0 after no longer needed

NOTE: Local governments may wish to retain records covered by item nos. 346 and 347 longer for social security or retirement documentation purposes.

3.[347] Payroll distribution breakdown record used to distribute or classify labor costs:

RETENTION: 6 years

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4.[348] Summary record of employee's payroll changes:

RETENTION: 6 years after termination of employment

5.[349] Employee's time cards, sheets, or books:

RETENTION: 6 years

6.[350] Record of employee absences or accruals

NOTE: This item does not apply to an employee's time cards or sheets.

a. When not posted to periodic cumulative time summary record:

RETENTION: 6 years

b. When posted to periodic cumulative time summary record:

RETENTION: 1 year

◆7.[351] Employee request for and/or authorization given to employee to use or donate sick, vacation, personal or other leave, or to work overtime:

RETENTION: 6 years

8.[352] Record of assignments, attachments, and garnishments of employee's salary

a. When employment was terminated prior to satisfaction:

RETENTION: 6 years after termination of employment

b. When satisfied:

RETENTION: 5 years after satisfaction

◆◆9.[353] Employee's voluntary payroll deduction request form:

RETENTION: 5 years after authorization expires

10.[354] Schedule or other notification from issuing bank showing savings bond purchased for employee:

RETENTION: 5 years after latest bond issue

◆11.[355] Employee's personal earnings record used to prove end-of-year total earnings, retirement or other deductions and taxes withheld:

RETENTION: 6 years

NOTE: Local governments may need to retain these records longer for social security or retirement documentation purposes.

12.[356] Employee's declaration of intention to accept or reject Social Security:

RETENTION: 10 years after employee dies or reaches age 75, whichever is shorter

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◆13.[357] Quarterly or other periodic report of wages paid prepared for Social Security, and report of any adjustments or corrections:

RETENTION: 6 years after year in which wages were reported

14.[358] Copy of Federal determination of error in wage reports (Form OAR-S30 or equivalent record):

RETENTION: 6 years after determination received

15.[359] Payroll report submitted to New York State Employee's Retirement System, Policemen's and Firemen's Retirement System, or any other official pension system:

RETENTION: 6 years

16.[360] Employer's copy of Annual Federal Tax Return (Form 940), Quarterly Federal Tax Return (Form 941E) and Continuation Sheets (Form 941a), Notice of Tax Return Due (Form TY 14), or equivalent forms:

RETENTION: 5 years after tax paid

17.[361] Employer's copy of: U.S. Information Return for Calendar Year (Form 1099), Withholding Tax Statement (Form W-2) or Transmittal of Wages and Tax Statements (Form W-3), or equivalent forms:

RETENTION: 5 years

18.[362] Employee's Withholding Exemption Certificate (Form W-4), or equivalent

form:

RETENTION: 5 years after a superseding certificate is filed or employment is terminated

19.[363] Employer's copy of New York State income tax records relating to employees:

RETENTION: 5 years after tax was paid

◆◆20.[724] Direct deposit records, covering direct deposit of employee's salary, including but not limited to application to begin or terminate direct deposit, and transaction log or similar reports:

RETENTION: 5 years after authorization expires

◆21.[725] Employee's declaration of intention to decline membership or participation in retirement system or benefit plan, including copy of written notification of options provided employee by local government

a. For retirement system:

RETENTION: 6 years after termination of employment

NOTE: Local governments may wish to retain these records for the life of the employee. State legislation in effect between 1993 and 1996 allowed

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for retroactive retirement system membership, for employees who were not previously offered membership, and the possibility exists that similar legislation may be passed into law in the future. If this occurs, these declarations of non-membership may be valuable for local governments to document intentions of present or former employees.

b. For benefit plan:

RETENTION: 6 years after termination of employment

PURCHASING

◆1.[559] Purchase order, purchase requisition, or similar record, used to obtain materials, supplies, or services:

RETENTION: 6 years

◆2.[561] Purchasing file, including but not limited to bid (successful, unsuccessful), contract and specifications, and related records, for purchase of materials, supplies and services not connected with capital construction:

RETENTION: 6 years after expiration or termination or 6 years after final payment under contract, whichever is later

NOTE: For capital construction, see item no. 478 in the Public Property and Equipment section and item no. 616 in the Transportation and Engineering section.

3.[562] Vendor file, including but not limited to list of vendors doing business with the local government, vendor evaluation forms, price lists or other information received from vendors:

RETENTION: 0 after obsolete

4.[563] Performance guarantee or written warranty for products or similar record:

RETENTION: 6 years after expiration

◆5.[564] Invoice, packing slip, shipping ticket, copy of bill of lading or similar record used to verify delivery and/or receipt of materials or supplies:

RETENTION: 6 years

◆6.[565] Invoice register, or similar record used to list invoices:

RETENTION: 6 years after last entry

7.[567] List or abstract of purchase orders, claims or contracts:

RETENTION: 6 years

8.[568] Standing order file, used for purchase of materials and supplies which are

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Rev. received on a regular basis:

RETENTION: 6 years

◆9.[726] Chargeback records, showing specific fund to be charged for in-house expenditure:

RETENTION: 6 years

REPORTS

1.[283] Daily, weekly, monthly, quarterly, or other periodic fiscal reports, including but not limited to daily funds report, daily cash report, statement of monthly balances, recapitulation of disbursements, and departmental reports:

RETENTION: 6 years

2.[284] Annual or final fiscal reports

a. When report is not included in minutes:

RETENTION: PERMANENT

b. When report is included in minutes:

RETENTION: 0 after officially recorded

3.[285] Fiscal reports from State agencies:

RETENTION: 6 years

4.[286] Fiscal report on management of court funds and of securities or depositories in which court funds are invested or deposited:

RETENTION: 6 years

5.[287] Certificate, demand or direction to fiscal officer to pay monies:

RETENTION: 6 years

6.[288] Verification of travel expenses, including but not limited to certificate of accuracy and receipts:

RETENTION: 6 years

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Schedule MU-1 Games of Chance/Bingo/Lottery

GAMES OF CHANCE/BINGO/LOTTERY

1.[289] Licensing and operation file for non-profit organization conducting bingo or games of chance

a. Application for and copy of license, investigation report, correspondence and all related records, except financial reports:

RETENTION: 3 years after expiration of license or denial of application

b. Financial report submitted quarterly, weekly or at the conclusion of each day's games:

RETENTION: 4 years

c. Annual financial/operational report submitted to municipality:

RETENTION: 6 years

2.[290] Authority to license bingo and games of chance delegated to local official by local governing body:

RETENTION: 0 after superseded or obsolete

3.[291] Master license register, summarizing all information on bingo and games of chance operations in municipality:

RETENTION: 6 years after last entry

◆4.[292] Lottery, raffle, or other fund-raising game or event records, except bingo or games of chance:

RETENTION: 3 years

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Schedule MU-1 Heritage Area

HERITAGE AREA (URBAN CULTURAL PARK)

◆1.[727] Management plan for heritage area (urban cultural park), created pursuant to Section 35.05, Parks, Recreation and Historic Preservation Law, including description of boundaries of park area, inventory and designation of cultural resources, statement of goals and objectives, identification of types of park uses,

identification of properties for potential acquisition, description of exhibits and programs to be undertaken, economic assessment of the park's cost and benefits, description of techniques for preservation of cultural resources, description of organizational structure and schedule for park planning, development and management and State-issued approval

a. Final management plan:

RETENTION: PERMANENT

b. Background materials and supporting documentation, including copies of "early action" grant files:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Some of the records these files may have continuing value for historical or other research and should be retained permanently. Contact SARA for additional advice.

◆2.[728] Application for heritage area (urban cultural park) designation submitted to State Office of Parks, Recreation and Historic Preservation, including response and related correspondence:

RETENTION: PERMANENT

◆3.[729] Visitor center records

a. Proposals, plans and drawings, feasibility studies and real property records:

RETENTION: PERMANENT

b. Visitors registers and patron usage records:

RETENTION: 3 years

◆4.[730] Walking and other tour files

a. Maps, brochures, photographs and background research files:

RETENTION: 6 years after tour discontinued

NOTE: Appraise these records for historical significance prior to

disposition. Some maps, brochures and photographs may have continuing

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Schedule MU-1 Heritage Area

value for architectural, historical or other research and should be retained permanently. Contact SARA for additional advice.

b. Notes, correspondence, memoranda, lists of participants and other routine records:

RETENTION: 1 year

◆5.[731] Exhibit file documenting planning, construction, and use of exhibit, including but not limited to installation photographs and slides, sketches, worksheets, publicity, brochures, exhibit catalogs, inventory lists, loan agreements and visitor surveys

a. Brochures, exhibit catalogs, installation photographs and slides, and inventory lists:

RETENTION: PERMANENT

b. All other records:

RETENTION: 6 years after exhibit closed

NOTE: Appraise these records for historical significance prior to disposition. Some of these records may have continuing value for historical or other research and should be retained permanently. Contact SARA for additional advice.

◆6.[732] Special event file, including but not limited to official copy of any program or promotional literature, or significant photographs of events, and background materials and supporting documentation:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition.

Some of the records these files may have continuing value for historical or other research and should be retained permanently. Contact SARA for additional advice.

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Schedule MU-1 Historian

HISTORIAN

◆1.[293] Local historian's records collected in the course of official duties pursuant to Section 57.09 of the Arts and Cultural Affairs Law

a. Records that document significant aspects of the history of the community and its citizens:

RETENTION: PERMANENT

b. Records that are collected and maintained for reference purposes or which do not document significant aspects of the history of the community and its citizens:

RETENTION: 0 after no longer needed

NOTE: This item includes non-government manuscript records collected by the official local government historian. Local government records collected by the historian are covered by other items on this Schedule. Published materials collected by the historian are not considered to be public records.

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Schedule MU-1 Human Rights/Economic Opportunity

HUMAN RIGHTS/ECONOMIC OPPORTUNITY

◆1.[294] Individual complaint or problem case file of human rights, economic opportunity, equal employment, community relations or similar function, including individual case summary record

a. For case handled at local level (includes cases referred to New York State Division of Human Rights but returned to local agency for adjudication):

RETENTION: 6 years after last entry

NOTE: Appraise these records for historical significance prior to

disposition. Records with historical value should be retained permanently.

Local governments should consider permanent retention of significant cases handled at the local level. Contact SARA for additional advice in this area.

b. For case referred to New York State Division of Human Rights:

RETENTION: 2 years after last entry

2.[295] Summary record for individual case and/or master summary record of all cases:

RETENTION: PERMANENT

◆3.[733] Periodic statistical or narrative activity or progress reports on human rights or economic opportunity office activities:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition.

Periodic reports containing summary information not found in annual reports may have continuing value for historical or other research and should be retained permanently.

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Schedule MU-1 Insurance/Self-Insurance

INSURANCE/SELF-INSURANCE

NOTE: Proof of liability insurance coverage must be retained longer for solid waste management

facilities. See item 234 in the Environmental Health section.

◆1.[296] Insurance (including self-insurance) case records, except workers' compensation case record, including but not limited to notice of claim, copies of filed court documents, accident reports, medical reports, motor vehicle reports, appraisal report, copy of check, correspondence, and other supporting documentation:

RETENTION: 6 years after claim closed, but not until any minor reaches age 21, whichever is later

NOTE: The local government may wish to retain the release longer for convenience of reference. Proof of liability insurance coverage must be retained longer to cover claims relating to exposure to asbestos and other toxic substances. Consult your counsel or attorney to ensure that insurance policies and other appropriate documentation are retained as long as needed.

◆2.[297] Workers' compensation case records (including Volunteer Firefighters Benefit Law) case records

a. If claim allowed:

RETENTION: 18 years after injury or illness, but not less than 8 years after last payment

b. If claim disallowed after trial, or case otherwise disposed of without an award after the parties have been given due notice:

RETENTION: 7 years after injury or illness

NOTE: The employee injury record must be retained for 18 years after date of accident or injury, as required by Section 110, Workers Compensation Law, even for disallowed claims. See item no. 744 in the Personnel/Civil Service Section.

◆3.[298] Master summary record (log or register), of all (including workers' compensation) claims:

RETENTION: 0 after all claims and/or cases listed in master summary record have been disposed of

◆4.[299] Insurance policy covering fire, theft, property damage, personal injury liability, general liability, insurance of life or property, when no outstanding claims are involved:

RETENTION: 6 years after expiration, or until the report on examination is

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Schedule MU-1 Insurance/Self-Insurance

filed, whichever is later

5.[300] Workers' compensation and employer's liability insurance policy, when no outstanding claims are involved:

RETENTION: 18 years after expiration

6.[301] Title insurance policy, when no outstanding claims are involved:

RETENTION: 20 years after expiration

◆7.[302] Certificate of insurance certifying as to name of insured, type of insurance, limits of liability, date of expiration and policy number, when no outstanding claim is involved, except a certificate of insurance certifying as to a security bond or undertaking:

RETENTION: 6 years after expiration

NOTE: For the exceptions mentioned above, see item no. 380 in the Personnel/Civil Service section, item no. 62 in the Building and Property Regulation section, item no. 266 in the Fiscal section, item no. 234 in the Environmental Health section and item no. 478 in the Public Property and Equipment section.

8.[303] Insurance appraisal and/or survey:

RETENTION: 0 after superseded or obsolete

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Schedule MU-1 Library

LIBRARY

1.[304] Incorporation, chartering and registration records:

RETENTION: PERMANENT

◆2.[305] Accession records:

RETENTION: 1 year after accessioning procedure becomes obsolete

NOTE: Some libraries accession manuscripts, rare books and special collections, but not their general library holdings. In these cases, the accession records need to

be retained only for the kinds of materials still accessioned.

◆3.[306] Directory of public library system and member libraries, prepared by public library system (member library's copy):

RETENTION: 0 after superseded or obsolete

4.[307] Borrowing or loaning records, including interlibrary loan:

RETENTION: 0 after no longer needed

◆5.[308] Catalog of holdings

a. Manuscript or published catalog:

RETENTION: PERMANENT

b. Continuously updated catalog:

RETENTION: 0 after superseded or obsolete

6.[309] Individual title purchase requisition which has been filled or found to be unfillable:

RETENTION: 1 year

◆7.[310] Records documenting selection of books and other library materials:

RETENTION: 0 after no longer needed

◆8.[311] Library material censorship and complaint records, including evaluations by staff, patrons' complaints and record of final decision:

RETENTION: 6 years after last entry

NOTE: Appraise these records for historical significance prior to disposition.

Some library censorship records deal with serious constitutional issues and may have value for future research.

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Schedule MU-1 Library

9.[312] Patron's registration for use of rare, valuable or restricted non-circulating materials:

RETENTION: 6 years

LICENSES AND PERMITS

NOTE: Additional license and permit records may found in the Environmental Health, Dog Identification and Control, Transportation and Engineering, Public Safety, and Building and Property Regulation sections.

1.[313] Master summary record (log or register), of license and permit application and issuance:

RETENTION: 6 years after all licenses or permits listed on records are invalid

◆2.[314] Licensing file for person to perform contracting trade (general contracting, plumbing, electrical or similar work) in municipality

a. Original application for license, including performance bond and other records:

RETENTION: 6 years after expiration or denial of license

b. Renewal records, including renewal application, performance bond and other records, when a fee is charged:

RETENTION: 6 years after expiration or denial of renewal license

c. Renewal records, including renewal application, performance bond and other records, when no fee is charged:

RETENTION: 1 year after expiration or denial of renewal license

◆3.[315] Business or special event license or permit issuance records, covering home improvement, vendors, peddlers, trash collectors, junk dealers, flea markets, going-out-of-business sales, yard or garage sales, entertainment and recreational events, explosives license records (predating 1971), waiver of open-container law, or other local legislation, and similar permit applications

a. All records in file, excluding detailed inventories submitted for "closing out" or "defunct business" sales:

RETENTION: 3 years after expiration of license or denial of application

b. Detailed inventories submitted for "closing out" or "defunct business" sales:

RETENTION: 1 year

4.[316] Trailer, mobile home or trailer park permit records, including application, site plan, copy of permit, copies of environmental health records, fire and building inspection reports:

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Schedule MU-1 Licenses and Permits

RETENTION: 6 years after denial of application, or expiration or renewal of license

◆5.[317] Special franchise files, documenting franchises granted by municipality to public utility, communications, transportation or other corporation, including application, record of negotiations, franchise bonds, consumer surveys, reports and correspondence

a. Special franchise files, other than renewal records:

RETENTION: 6 years after franchise expires

NOTE: Appraise these records for historical significance prior to disposition. Special franchise files for public utilities and transportation companies, for instance, may have continuing value for historical or other research and should be retained permanently. Contact SARA for additional advice.

b. Renewal record in file, such as renewal application, or performance bond:

RETENTION: 6 years after record becomes invalid or obsolete

6.[318] Notice of intent to apply for or renew alcoholic beverage license submitted by license applicant to municipal clerk:

RETENTION: 2 years

7.[319] Records relating to conservation license, issuance and distribution

a. Annual and monthly reports of licenses sold, monthly summary sheet

showing licenses sold, detail allotment sheet and similar records:

RETENTION: 6 years

b. Stub, copy or abstract of license retained by municipality:

RETENTION: 2 years

◆8.[734] Notification of issuance of license to purchase, own, possess, transport, use, manufacture, sell, or dispose of explosives, also known as "magazine certificate," issued pursuant to Section 458.9, Labor Law, and sent to municipality:

RETENTION: 0 after date of expiration

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Schedule MU-1 Miscellaneous

MISCELLANEOUS

◆1.[320] Ombudsman/referral service records covering citizen complaint services, landlord/tenant advisory services, job placement consultation, handicapped person's assistance, and related services, including but not limited to log or master index, copies of complaints, intakes and referrals, and individual case file materials

a. Relating to other than routine services or activities:

RETENTION: 6 years after final disposition of matter

b. Relating to routine services or activities:

RETENTION: 1 year after final disposition of matter

2.[321] Reapportionment or establishment plan for legislative body, including background materials:

RETENTION: PERMANENT

◆3.[322] Certificate of population, received from federal Bureau of the Census, filed with county or municipality after each census enumeration:

RETENTION: PERMANENT

4.[323] Official record of street name and/or street address changes:

RETENTION: PERMANENT

5.[324] Military service and militia assessment records:

RETENTION: PERMANENT

6.[325] School district records, created prior to consolidation of school districts into centralized districts

a. Basic records documenting the municipality's role in supporting and maintaining the district, including but not limited to school district trustees' minutes; school commissioners' reports; school district "record books"; records of district formation, alteration or consolidation; teacher hiring and salary records; school fund and other accounting ledgers; attendance records; school censuses; district tax rolls or lists; school library reports and book lists; certificates of apportionment; and annual and special reports:

RETENTION: PERMANENT

b. Supporting fiscal and administrative documentation, including but not limited to receipts, warrants and orders to pay, canceled checks, bank statements, and routine correspondence:

RETENTION: 6 years

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Schedule MU-1 Miscellaneous

7.[326] District reference file, covering school, (special) improvement, and fire districts

a. Records documenting the establishment, extension, alteration, consolidation or dissolution of district, including but not limited to petition, records of public hearing, correspondence with New York State agencies, maps, surveys, special reports and studies, and photographs:

RETENTION: PERMANENT

b. Background materials and supporting documentation, including but not

limited to periodic reports, routine correspondence, memoranda and copies of district budgets:

RETENTION: 6 years

8.[327] Public utility gross income tax return, filed with city or village receiving tax payment from utility:

RETENTION: 6 years

◆9.[328] Noise level monitoring records, including but not limited to summary records, showing long-term trends and developments and original entry and intermediary records, including charts, graphs and statistics:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition.

Records with historical value should be retained permanently. Local governments should consider permanent retention of summary records, showing long-term trends and developments, in cases where noise levels are a matter of public concern. Contact SARA for additional advice in this area.

Chattel mortgages and conditional sales

a. Index volume or other master listing of chattel mortgages and/or conditional sales:

RETENTION: PERMANENT

b. Chattel mortgage or conditional sale contract and satisfaction:

RETENTION: 0

11.[331] Out-of-state or other unofficial marriage or birth records, filed with clerk for informational purposes:

RETENTION: 0

12.[332] Surplus food distribution records, covering federally donated food and related commodities, including but not limited to inventory, order form, eligibility determination records, authorizing receipt and reports on storage and distribution:

RETENTION: 4 years

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Schedule MU-1 Miscellaneous

13.[333] Lower income housing rental assistance records (created under Section 8 of the Housing and Community Development Act of 1974)

a. Master summary record (index, log or register) of applications and payments:

RETENTION: PERMANENT

b. Case file, including but not limited to applications for assistance, eligibility determination records, certifications, worksheets, correspondence and rental agreements:

RETENTION: 6 years after denial of application, termination of agreement or close of case

14.[334] Governmental establishment and reorganization records, covering establishment, incorporation, annexation, consolidation, dissolution or charter revision, for political subdivision, including but not limited to petitions, special studies and surveys, correspondence with State agencies, records of voter action and reports:

RETENTION: PERMANENT

15.[335] Census records of all regular and special local, New York State and Federal censuses:

RETENTION: PERMANENT

16.[336] Historic preservation records, including but not limited to background files relating to proposed historic preservation legislation, historic district and/or structure designation, records and case files for proposed external modifications to structures with historic designations:

RETENTION: PERMANENT

◆17.[337] Financial or political interest disclosure records, filed by vendor/contractor doing business with the municipality:

RETENTION: 6 years

◆18.[338] Minority- and women-owned business files, covering minority- and womenowned businesses doing business with or in the jurisdiction of a local government

a. Summary record listing businesses, eligibility criteria and official government policy statement:

RETENTION: PERMANENT

b. Detailed application/questionnaire/response completed by business:

RETENTION: 5 years after date of most recent entry in record

NOTE: Appraise these records for historical significance prior to disposition. If the local government uses its own rather than statewide criteria for approving these

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Schedule MU-1 Miscellaneous

businesses, then these records may document minority- and women-owned business operating in the community.

c. Directory of state-approved minority- and women-owned businesses, supplied by State Department of Economic Development:

RETENTION: 0 after superseded

d. Other records, including job quotes, bid lists, referrals, credit and character references and affidavits, but not including summary record, detailed application/questionnaire/response, eligibility criteria and official government policy statement, and state-supplied directory of businesses:

RETENTION: 6 years after contract expiration

◆19.[339] Record of gifts and bequests to a local government, including copy of will, copies of deeds, maps and surveys (if applicable) and records of establishment of and use of monies generated by trust fund or endowment

NOTE: This does not apply to donations of real property, which are covered by item no. 475 in the Public Property and Equipment section.

a. When trust fund or endowment is involved:

RETENTION: PERMANENT

b. For gift of work of art, historical or other artifact or historical manuscript:

RETENTION: PERMANENT

c. For gift or bequest not covered under parts a or b, or by note above:

RETENTION: 6 years

20.[340] List of community college students residing in municipality:

RETENTION: 0 after superseded or obsolete

◆21.[735] Certificate of residency issued to person enrolling in a community college, and related

records

a. Copy, and related records, retained by municipality which completes certificate:

RETENTION: 6 years

b. Informational records received from county clerk:

RETENTION: 0 after no longer needed

22.[342] Local law or ordinance violation records, not related to zoning ordinance violation

a. For alleged but unfounded violation:

RETENTION: 1 year

b. Violation files:

RETENTION: 6 years after date of last entry in record

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c. Master summary record of violations:

RETENTION: PERMANENT

◆23.[736] Community service records, showing time worked and type of tasks performed by person

sentenced by court to community service:

RETENTION: 6 years, or 3 years after individual attains age 18, whichever is longer

◆◆24.[737] Annual financial disclosure statements, filed by local political party official or candidate

for local elected office, pursuant to Section 812.1 (a), General Municipal Law:

RETENTION: 7 years

◆25.[738] Power generating facility licensing records, covering all records submitted to municipality as part of nuclear power, hydropower, cogeneration or other power facility licensing or relicensing process, including but not limited to maps and plans, construction specifications, reports and studies, copies of applications, copies of court transcripts and environmental data collected as part of application process

a. Copies held by municipality where facility (or proposed facility) is located:

RETENTION: PERMANENT

b. Copies held by other municipalities in the area, supplied by applicant for informational purposes:

RETENTION: 0 after no longer needed

◆26.[739] Miscellaneous records, received by local government agency in the course of official business:

RETENTION: 0 after no longer needed

NOTE: Appraise these records for historical significance prior to disposition. Records which document the history of the community and its citizens may have continuing value for historical or other research and should be retained permanently. These records may contain valuable information which supplements records created by the local government itself. Records not retained permanently may be offered to a local historical records repository. Contact the State Archives for additional advice.

NOTE: Upon the receipt of these non-public manuscript records by a local government

agency in the course of official business, these records all become "local government records" subject to this Schedule. Published materials received by a local government are not considered to be public records.

◆27.[740] Assumed business name certificates (D.B.A.-Doing Business As) and related materials

a. Assumed business name certificate:

RETENTION: 6 years after discontinuance filed

b. Assumed business name certificate index:

RETENTION: PERMANENT

◆28.[741] Register of professions, including nurses, midwives, doctors and other professionals:

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RETENTION: PERMANENT

◆29.[742] Notary public and Commissioner of deeds appointment records, including but not limited

to commission, certificate of official character, certificate of appointment and oath:

RETENTION: 6 years after authorization expires or is withdrawn

◆30.[743] Domestic partnership statement, notice of termination, and related records, filed with

municipality or county:

RETENTION: PERMANENT

◆◆31.[889] Photographs or other visual media records, created by a local government, which are not

part of a record series listed elsewhere in this Schedule:

RETENTION: 0 after no longer needed

NOTE: Appraise these records for historical significance prior to disposition. Some photographs and other visual media records may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for

additional advice.

◆◆32.[890] Child abuse or maltreatment reports and related records, reporting agency copy:

RETENTION: 3 years

NOTE: This item covers copies of child abuse and maltreatment reports and related records retained by agencies reporting suspected abuse and maltreatment to the State Central Register or to child protective services units of county social services departments.

Reporting agencies may be in such areas as education, youth services and recreation.

Reporting copies maintained by law enforcement agencies are covered by item no. 536 in the Public Safety section, Law Enforcement: Miscellaneous subsection.

◆◆33.[891] Lobbying activity records, including but not limited to registration records, individual

reporter designation records, and periodic reports of lobbying activity filed with New York Temporary State Commission on Lobbying:

RETENTION: 3 years

◆◆34.[892] Project review records, covering projects requiring approval by the Adirondack Park Agency, Lake George Commission, or other government entity or agency, where local government receives records for comment or review, or for informational purposes

a. When permit or other approval must be granted by local government involved:

RETENTION: Retain as long as related building, land use, planning, zoning, or environmental permit or approval records covered elsewhere in this schedule.

b. When no permit or approval by local government is needed, and records are received for comment or informational purposes only:

RETENTION: 3 years after date of most recent entry

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Schedule MU-1 Museum

MUSEUM

◆1.[343] Exhibit file documenting planning, construction, and use of exhibit, including but not limited to installation photographs and slides, sketches, worksheets, publicity, brochures, exhibit catalogs, inventory lists, loan agreements and visitor surveys

a. Brochures, exhibit catalogs, installation photographs and slides, and inventory lists:

RETENTION: PERMANENT

b. All other records:

RETENTION: 6 years after exhibit closed

NOTE: Appraise these records for historical significance prior to disposition. Some of these records may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

◆2.[344] Collections records documenting acquisition, accession, deaccession, loan, conservation, and use of materials, including but not limited to accession register, loan agreement, inventory of collection and conservation treatment record

a. Routine records, including but not limited to notes and internal memoranda:

RETENTION: 1 year

b. All other collections records:

RETENTION: PERMANENT

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Schedule MU-1 Personnel/Civil Service

PERSONNEL/CIVIL SERVICE PERSONNEL

◆1.[364] Personnel records of local government employees (includes volunteers and interns)

a. Master summary record from personnel case file, including but not limited to age, dates of employment, job titles and civil service status:

RETENTION: PERMANENT

b. Personnel case file materials, except summary information record, and including but not limited to application for employment, resume, report of personnel change, evaluation, civil service examination results, notice of resignation or termination, and correspondence:

RETENTION: 6 years after termination of employment

◆2.[365] Investigative records and disciplinary proceedings, including but not limited to statement of charge, transcript of hearing, notice of decision, letter of termination or resignation, letter of reinstatement, record of appeal procedure, and correspondence:

RETENTION: 3 years after final decision rendered

NOTE: Records covered by this item may be destroyed before this retention period has been reached, if specified either in a union contract or settlement between the employer and employee.

NOTE: Affirmative action and related complaints may be covered by item no. 371c, below.

3.[366] Employee's time records covering leave, absences, hours worked and scheduling, and including but not limited to employee's time cards or sheets, request for change of work schedule, vacation schedule, report of absence and request for leave without pay:

RETENTION: 6 years

◆4.[367] Annual or other financial disclosure statements, filed by local government employees or officials, pursuant to Section 812.1 (a), General Municipal Law, or local law:

RETENTION: 7 years

5.[368] Continuing staff education, training and development records, including information on courses of instruction, except public safety training records and

those dealing with toxic substance handling training:

RETENTION: 6 years

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Schedule MU-1 Personnel/Civil Service

◆6.[369] Administrative organization chart and related records showing administrative and supervisory organization:

RETENTION: 0 after superseded or obsolete

NOTE: Appraise these records for historical significance prior to disposition.

Records with historical value should be retained permanently. Contact SARA for additional advice.

◆7.[370] Identification card records, when card is issued to local public employee:

RETENTION: 6 months after becoming invalid

◆8.[371] Equal employment opportunity report and related records

a. Annual, long-term or special (narrative or statistical) reports, goals and achievements:

RETENTION: PERMANENT

b. Periodic reports, statistics and other records used in compiling annual, longterm or special (narrative or statistical) reports, goals and achievements:

RETENTION: 1 year

c. Affirmative action and related complaint investigation records:

RETENTION: 3 years after date of final determination

◆9.[372] **Health and life insurance records**

a. For employee with or without dependent survivor:

RETENTION: 3 years after termination of employee's or dependent survivor's coverage, whichever is later

b. Claim for benefits (copy, where original is submitted directly by employee):

RETENTION: 1 year

c. Health and life insurance coverage reports:

RETENTION: 6 years

d. Declination statement filed by employee:

RETENTION: 6 years after separation from service

10.[373] Unemployment insurance records

a. Claim filed by employee, when claim is approved:

RETENTION: 6 years after final payment

b. Claim filed by employee, when claim is disqualified:

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Schedule MU-1 Personnel/Civil Service

RETENTION: 3 years after filing

c. Claim payment reports:

RETENTION: 6 years

◆11.[374] Labor-management meeting records, including minutes of meeting, agenda, reports, and correspondence

a. Minutes and reports:

RETENTION: PERMANENT

b. Meeting agenda, correspondence, and other records:

RETENTION: 6 years

◆12.[375] Public employee contract negotiations records, including but not limited to proposals, summary of proceedings, copies of salary schedules and contracts, P.E.R.B. fact-finding report, and correspondence

a. All documentation in record, except routine correspondence, routine memoranda and drafts:

RETENTION: PERMANENT

b. Routine correspondence, routine memoranda and drafts:

RETENTION: 1 year

◆13.[376] Job action records documenting strikes, work stoppages, informational picketing and other job actions conducted by local government employees, including but not limited to correspondence and memoranda, press clippings, copies of notices of violation, detailed and summary records of employees' participation, and penalties levied upon participants

a. All documentation in record, except detailed listings of all employees present at various events and other records lacking substantive informational value:

RETENTION: PERMANENT

b. Detailed listings of all employees present at various events, and other records lacking substantive informational value:

RETENTION: 6 years

◆14.[377] Public employee grievance records, including but not limited to grievance, investigative records, hearing proceedings, decision rendered by employer, employee appeal, records of arbitration procedure, final decision, and correspondence:

RETENTION: 3 years after grievance is resolved

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Schedule MU-1 Personnel/Civil Service

◆15.[378] On-site safety inspection records, including individual inspections and summary of findings:

RETENTION: 3 years after last entry

◆16.[379] **Toxic substance exposure records**

a. Records of exposure or possible exposure of an employee to a toxic substance or other harmful physical agent, including background data to environmental monitoring or measuring, biological monitoring records which are designated as exposure records, material safety data sheets or

chemical inventory records indicating use and identity of a toxic substance or harmful physical agent, and related records:

RETENTION: 30 years

NOTE: Environmental monitoring background data may be destroyed after 1 year provided that sampling results, methodology, a description of the analytical method used, and a summary of other background data relevant to the interpretation of results are retained for at least 30 years, as provided in 29CFR 1910.1020 (d-1) (ii-A).

b. Lists, or material safety data sheets, of toxic substances present in the workplace and of employees who handle those substances:

RETENTION: 40 years after superseded or obsolete

c. Material safety data sheet or fact sheet, providing detailed information on specific toxic or other substance at workplace, when not used for parts a or b, above, as the list of toxic substances (as defined in 29CFR 1910, Subpart Z) in the workplace or for substances not defined in 29CFR 1910, Subpart Z as being toxic:

RETENTION: 3 years after substance no longer present at workplace

NOTE: If material safety data sheets or fact sheets are used for parts a or b, above, as the list of toxic substances (as defined in 29CFR 1910, Subpart Z) in the workplace, then those sheets should be maintained for the time periods indicated by parts a or b.

d. Training records covering training of individual employee in handling toxic substances:

RETENTION: 3 years after separation from service

e. Summary records of toxic substance training, including but not limited to minutes of meetings and training sessions and summary descriptions of

training given employees:

RETENTION: 3 years after separation from service of all employees involved

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Schedule MU-1 Personnel/Civil Service

NOTE: This retention may be difficult to calculate in instances where a number of employees have attended the same training. Local officials may wish to retain these summary training records for 60 years or another period sufficient to ensure that all concerned employees have separated from service.

f. Policy statements and procedures issued by local government relative to dealing with toxic substances:

RETENTION: PERMANENT

17.[380] Personal surety bond or undertaking of public official:

RETENTION: 20 years after coverage expires

18.[381] Listing or roster of local government officials or employees, including names, addresses, titles and other pertinent information:

RETENTION: PERMANENT

19.[382] Oath of office or record of official signature of public employee

a. Official copy:

RETENTION: PERMANENT

b. Oath of any election official:

RETENTION: 1 year after election

◆20.[383] Log and summary of occupational injuries and illnesses, created pursuant to 12NYCRR, 801.7 and 29CFR, 1904.6:

RETENTION: 5 years

NOTE: If these records are intended to also satisfy the legal requirements of

Section 110, Workers Compensation Law, and no separate records covered by item no. [21], below, are created, then these records must be retained for 18 years after date of injury or illness.

◆21.[744] Employee injury record, covering work-related accident or occupational disease, created pursuant to Section 110, Workers Compensation Law:

RETENTION: 18 years after date of injury or illness

◆22.[384] Employee medical records

NOTE: This item does not include health insurance records, which are covered by item no. 372, above, or toxic substance exposure records, which are covered by item no. 379, above.

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Schedule MU-1 Personnel/Civil Service

a. First aid records of one-time treatment and subsequent observation of minor illnesses and injuries, as defined in 29 CFR 1910.1020 (d-1) (i-B), if made on-site by a non-physician and maintained separately from the employee medical records:

RETENTION: 3 years after completion of treatment and subsequent observation

b. Medical records, other than those covered by part "a", including medical questionnaires and histories, the results of medical examinations and laboratory tests, medical opinions, diagnoses and recommendations, first aid records, descriptions of treatments and prescriptions, employee medical complaints, and related records, for employee who worked one year or longer:

RETENTION: 30 years after termination of employment

c. Medical records, other than those covered by part "a", including medical questionnaires and histories, the results of medical examinations and

laboratory tests, medical opinions, diagnoses and recommendations, first aid records, descriptions of treatments and prescriptions, employee medical complaints, and related records, for employee who worked less than one year, provided copies were given to the employee upon termination of employment, pursuant to 29 CFR 1910.1020 (d-1) (i-C):

RETENTION: 3 years after termination of employment

NOTE: If copies are not given to the employee upon termination of employment, the retention specified in part "b," above, must be followed.

◆23.[329] Notification of vacancy in office, or filling of vacant position:

RETENTION: 0 after position filled or abolished

◆24.[745] Drivers' license review records for local government officials, employees or volunteers

a. When no action is taken as result of review:

RETENTION: 0

b. When action is taken as result of review:

RETENTION: 3 years

◆25.[746] Employee attestation of knowledge of code of ethics, staff policy manual or other official policies or procedures:

RETENTION: 3 years after superseded or upon termination of employment

◆26.[747] Records documenting the specimen collection and testing process, for commercial motor vehicle driver alcohol and drug testing

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Schedule MU-1 Personnel/Civil Service

a. Official copy of all policies and procedures, including documentation of the random selection process:

RETENTION: PERMANENT

b. Quality control records, including calibration records for testing equipment,

assuring that testing equipment is operating correctly:

RETENTION: 5 years

c. Annual statistical and other reports:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently.

d. Other records, including periodic reports and statistics and collection logbooks:

RETENTION: 2 years

◆27.[748] Drivers' test results and related records

a. Verified positive controlled substance test results or alcohol test results indicating a breath or blood alcohol concentration equal to or greater than 0.02, documentation that individual employee's test was conducted and specimen handled properly, records of dispute of test results by driver, justification for conducting other than random test, records of compliance with Substance Abuse Professional's (SAP's) recommendations, correspondence and related records:

RETENTION: 6 years after termination of employment

b. Verified positive controlled substance test results or alcohol test results indicating a breath or blood alcohol concentration equal to or greater than 0.02, documentation that individual job applicant's test was conducted and specimen handled properly, records of dispute of test results by individual, justification for conducting other than random test, records of compliance with Substance Abuse Professional's (SAP's) recommendations, correspondence and related records:

RETENTION: 3 years

c. Negative or canceled control substance test result or alcohol test result

indicating a breath or blood alcohol concentration less than 0.02:

RETENTION: 1 year

d. Records relating to a driver's refusal to take alcohol or substance abuse test:

RETENTION: 6 years after termination of employment

e. Records relating to a job applicant's refusal to take alcohol or substance

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Schedule MU-1 Personnel/Civil Service

abuse test:

RETENTION: 3 years

◆28.[749] Documentation of other violations of alcohol or substance abuse rules, including results of alcohol or substance abuse tests administered by law enforcement personnel, copies of police reports and medical records:

RETENTION: 6 years after termination of employment

◆29.[750] Staff training and evaluation records for commercial motor vehicle driver alcohol and drug testing

a. Official copy of course syllabus or any local government produced training or advisory publication or videotape:

RETENTION: 6 years after superseded

b. Other training records including lists of attendees, copies of instructors' course or class notes, documentation of instructors' training and proof that employees have received required reading materials:

RETENTION: 6 years

CIVIL SERVICE

◆1.[385] Copy of payroll, or payroll report, submitted to civil service office for certification or approval:

RETENTION: 0 after superseded

NOTE: Official copy of payroll must be retained for 55 years. See item no. 345

in the Fiscal section.

2.[386] Official civil service employee roster card:

RETENTION: PERMANENT

◆3.[387] Established position record showing a history of each position and names and other pertinent information about persons who occupied it

a. If record contains detailed information about the position and persons who occupied it:

RETENTION: PERMANENT

b. If record only provides lists of names of employees:

RETENTION: 1 year after final entry in record

NOTE: The official listing or roster of all local government officials or

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Schedule MU-1 Personnel/Civil Service

employees, covered by item no. 381, must be retained permanently.

◆4.[388] Report of personnel change, (including employee transfer record), except copy retained in employee's personnel records

a. Copy held by office with official civil service function:

RETENTION: 0 after termination of employment, but not less than 6 years

b. Copy retained by fiscal office, where official civil service copy is maintained by other local government having the official civil service function:

RETENTION: 6 years

c. Employee transfer record:

RETENTION: 0 after termination of employment, but not less than 6 years

◆5.[389] Job classification records, including job classification questionnaire, analysis of

job duties and request for reclassification:

RETENTION: 1 year after subsequent classification action completed, but not less than 10 years

NOTE: Appraise these records for historical significance prior to disposition.

Local governments with official civil service functions should consider permanent retention of these records. Contact SARA for additional advice.

◆6.[390] Official copy of job posting and position duties statement

a. When duties of position are described in detail:

RETENTION: PERMANENT

b. When duties of position are not described in detail:

RETENTION: 6 years

◆7.[391] Personnel requisition made to civil service or personnel office, requesting that vacancy be filled:

RETENTION: 0 after obsolete

◆8.[392] Civil service eligible list records

a. Official eligible list and certification of eligible list:

RETENTION: 20 years after expiration of eligible list

b. Certification of eligible list sent to and retained by appointing authority:

RETENTION: 3 years after expiration of eligible list

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c. Request for certification of eligible list:

RETENTION: 1 year after expiration of eligible list, but not less than 3 years

d. Individual's request for reinstatement to eligible list and reply:

RETENTION: 1 year after expiration of eligible list, but not less than 3 years

e. Eligible list canvass records, including but not limited to prec canvass questionnaire and letter of canvass and reply:

RETENTION: 6 months after expiration of eligible list, but not less than 3 years

f. Military record of applicant, when applicant was not hired:

RETENTION: 3 years after expiration of eligible list

◆9.[393] Application for employment, including resume, when applicant not hired:

RETENTION: 3 years

NOTE: When the applicant is hired, the application is retained in or as long as the personnel file. See item no. 364 in the Personnel/Civil Service section, above.

◆10.[394] Application for examination

a. When eligible list is established:

RETENTION: 3 years after expiration of eligible list

b. When no eligible list is established:

RETENTION: 3 years after examination date

c. Supplemental documentation filed in conjunction with application, including but not limited to student loan statement, credentials and copies of transcripts:

RETENTION: 1 year

◆11.[395] Civil service examination records

a. Civil service examination and announcement (official copy held by office with official civil service function):

RETENTION: PERMANENT

b. Civil service examination and announcement (other than official copy held by office with official civil service function):

RETENTION: 0 after no longer needed

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c. Candidate identification or admission card:

RETENTION: 3 years after date of examination

d. Examination preparation, administration, and rating records:

RETENTION: 5 years after date of examination

e. Veteran credit records:

RETENTION: 50 years

f. Qualifying medical, physical fitness or agility examination report, when person is hired, and worked one year or longer:

RETENTION: 30 years after termination of employment

g. Qualifying medical, physical fitness or agility examination report, when person is hired, and worked less than one year, provided copies were given to the employee upon termination of employment, pursuant to 29 CFR 1910.1020 (d-1) (i-C):

RETENTION: 3 years after termination of employment

h. Qualifying medical, physical fitness or agility examination report, when person is not hired:

RETENTION: 3 years after date of examination

i. Summary listing of examination results:

RETENTION: 1 year after date of examination

j. Notification of examination results mailed to candidate:

RETENTION: 3 years

k. Examination review records including but not limited to employee request, correspondence, and objection:

RETENTION: 3 years after expiration of eligible list

12.[396] Seniority list ranking employees by length of service:

RETENTION: 3 years after superseded or obsolete

◆13.[751] Disclosures related to student loan status, received as part of civil service examination application, transmitted to New York State Higher Education Services Corporation, along with transmittal documents:

RETENTION: 1 year

◆14.[752] Local government requests to State Civil Service Commission for approval of changes in policies or jurisdictional classifications:

RETENTION: 3 years after date of last entry in record

◆◆15.[893] Recruitment, hiring, interview and selection records, including but not limited to
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Schedule MU-1 Personnel/Civil Service

correspondence, reports, selection criteria, interview notes, background check records, rating and ranking forms, evaluations and other records pertaining to the hiring, promotion, demotion, transfer, layoff and termination of employees:

RETENTION: 3 years after completion of personnel action

NOTE: This item does not cover personnel records of individual employees. See item no. 364 in the Personnel subsection, above.

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Rev. PORT FACILITY

◆1.[403] Maps, plans, specifications, drawings and photographs of port facility:

RETENTION: 6 years after facility no longer in use

NOTE: Appraise these records for historical significance prior to disposition.

Some of these records will have continuing value for historical or other research and should be retained permanently. Contact SARA for additional advice.

2.[404] Master plan, and all supporting documentation for port facility:

RETENTION: PERMANENT

◆3.[405] Tenant legal and reference files

a. Contract negotiations, contracts, leases and significant correspondence:

RETENTION: 6 years after expiration, revocation or renewal

NOTE: Appraise these records for historical significance prior to disposition. These records may document the important roles these facilities play in the economic development of the community. In such cases, these records may have continuing value for historical or other research meriting their permanent retention. Contact SARA for additional advice.

b. Correspondence, including but not limited to complaints about tenants:

RETENTION: 6 years

c. Informational materials, including but not limited to lists of tenant's employees, copies of schedules, brochures and advertising materials:

RETENTION: 0 after obsolete

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Schedule MU-1 Public Access to Records

PUBLIC ACCESS TO RECORDS

◆1.[406] Subject matter list of records held by local government, required under Freedom of Information Law:

RETENTION: 6 months after superseded

◆2.[407] Listing of officers or employees of local government required by Freedom of Information Law:

RETENTION: 6 months after superseded

◆3.[408] Register or list of applicants seeking access to public records:

RETENTION: 6 months

◆4.[409] Freedom of Information records request file

a. Request for access to public records, when request is granted:

RETENTION: 6 months

b. Request for access to public records, when request is denied, including statement of denial, appeal records, documentation of review and decision:

RETENTION: 6 months after final determination

c. Certificate that record does not exist or cannot be found:

RETENTION: 6 months

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Schedule MU-1 Public Employment and Training

PUBLIC EMPLOYMENT AND TRAINING

◆1.[410] Employment and training program file for Job Training Partnership Act, Comprehensive Employment and Training Act (C.E.T.A.), Manpower Development and Training Act, youth employment training, Work Force Investment Act, and other job training programs

a. Project application, proposal, narrative, evaluation, and annual report:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently.

b. Background material and supporting documentation:

RETENTION: 6 years

2.[411] Employment and training program individual participant file, including but not limited to application, work schedule, evaluations, and notice of transition to nongrant employment:

RETENTION: 6 years after last entry

3.[412] Denied employment and training enrollment application:

RETENTION: 3 years

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Schedule MU-1 Public Health

PUBLIC HEALTH

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PUBLIC PROPERTY AND EQUIPMENT

◆1.[475] Real property acquisition or sale file for property owned by local government including

but not limited to copy of deed, copy of appraisal or valuation, copy of site or plot plan, photographs, recommendation or justification for acquisition or sale, approval for acquisition or sale, closing statement, memoranda and correspondence

a. Copy of site or plot plan, photographs, and recommendation or justification for acquisition or sale:

RETENTION: PERMANENT

b. Other records in file, including but not limited to copy of deed, copy of appraisal or valuation, closing statement, approval for acquisition or sale, memoranda and correspondence:

RETENTION: 6 years after property no longer owned by local government

NOTE: This does not apply to a sale of real property tax liens conducted by the local government. See the Taxation and Assessment section.

2.[476] Master summary record (book, log or register) recording acquisition or sale of property by local government:

RETENTION: PERMANENT

3.[477] Official copy of sale or auction list, and notice or advertisement of sale of real property by local government:

RETENTION: PERMANENT

◆◆4.[478] Capital construction or public improvement project file, including but not limited to

bids, specifications, contracts, performance guarantees, inspection reports, and environmental impact statements

a. Feasibility studies; successful bids; plans, specifications and designs; project description; in-progress and completion photographs; inspection reports; environmental impact statement; annual project statement; fiscal and other final reports; significant change orders; and significant correspondence:

RETENTION: 6 years after building or facility no longer exists or is no longer owned by local government

NOTE: Appraise these records for historical significance prior to disposition.

Records for important projects or historic structures have historical value and should be retained permanently. Contact the State Archives for additional advice.

b. Supplementary documentation, including application for assistance, project budget, interim fiscal reports, claims, contracts, vouchers, work orders, memoranda, worksheet, non-significant change orders; routine correspondence and detailed construction specifications:

RETENTION: 6 years after last entry in project file

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c. Unsuccessful bids, to which contract is not awarded:

RETENTION: 6 years

d. All records, when project is proposed but not undertaken:

RETENTION: 6 years after last entry

NOTE: For plans, maps, designs, sketches, designs, architectural drawings and photographs of buildings and facilities, see item no. 479, below.

◆◆5.[479] Official plans, maps, designs, architectural drawings, and photographs for buildings or

other facilities owned by local government, including index, and also including design file for capital construction or renovation project

a. Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for significant building or other facility:

RETENTION: PERMANENT

b. Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for other than significant building or other facility:

RETENTION: 6 years after building or facility no longer exists or is no longer owned by local government

c. Mechanical, electric and other detailed schematic drawings, not covered by parts "a" or "b," including detailed specifications not appearing on plans, maps, designs, sketches, architectural drawings:

RETENTION: 6 years after building or facility no longer exists or is no longer owned by local government

d. Other related non-graphic design file documents, including correspondence, cost estimates, reports, planning studies and other records:

RETENTION: 6 years after completion of project

NOTE: Some of these non-graphic documents may need to be retained for 6 years after the building or other facility no longer exists, if they document significant changes with long-term fiscal and other implications. Local governments should review these records for these possible uses prior to disposition.

e. Template or other similar automated framework or reference files used in conjunction with more specific automated design files:

RETENTION: Retain as long as the related specific automated design files are retained.

f. Index or similar record used to locate, identify and access plans, maps, designs, sketches, architectural drawings, photographs and other existing records:

RETENTION: Maintain as perpetual data file or other record, deleting information only relating to records that have been disposed of.

◆◆6.[480] Draft or intermediary plans, maps, designs, sketches or architectural drawings, including explanatory textual files, tracings and other than final or "as built" automated

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design files:

RETENTION: 0 after no longer needed

NOTE: Some of these design documents may need to be retained for 6 years or longer, possibly as long as the building or other facility exists, if they document significant changes with long-term fiscal and other implications. Local governments should review these records for these possible uses prior to disposition.

◆◆7.[895] Maintenance, testing, service, operational and repair records for buildings and other facilities or their mechanical, electrical systems or other infrastructure

a. Cumulative summary records:

RETENTION: 6 years after building or other facility no longer in use

b. Individual detailed report or related record, such as work request, work order, personnel deployment record, preventive maintenance schedules and records of work completed, when posted to cumulative summary record:

RETENTION: 6 years

c. Individual report or related record, such as work request, work order, personnel deployment record and records of work completed, when not posted to cumulative summary record:

RETENTION: 6 years after building or other facility no longer in use

d. Log, maintenance schedule or similar record of ongoing activity:

RETENTION: 6 years after last entry

e. Descriptive information on specific equipment or component parts:

RETENTION: 6 years after equipment or part no longer in use

f. Descriptive information on maintenance personnel, vendors or contractors:

RETENTION: 1 year after superseded or obsolete

g. Inventories of parts, materials and supplies needed for maintenance and repairs:

RETENTION: 6 years

h. Requests for inspection, repair or service, when no work is performed and no funds expended:

RETENTION: 1 year

NOTE: For plans, designs and schematic drawings of buildings and facilities, including their systems and component parts, see item no. 479, above.

◆◆8.[896] Reports and studies relating to maintenance, testing, service, operation and repairs for

buildings and other facilities or their mechanical, electrical systems or other infrastructure:

RETENTION: 6 years

NOTE: Some of these reports may need to be retained longer for long-term facility management purposes, such as for 6 years after building or other facility no longer in use.

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Some may even have permanent historical or other research value. Contact the State Archives for additional information.

◆◆9.[481] Building or facility security records, including but not limited to visitor's register and watchman's or automated security system or false alarm reports:

RETENTION: 3 years

NOTE: This item does not cover airport security records, which are covered by item no. 609 in the Transportation and Engineering section, Airport subsection.

◆10.[482] Public facility use file, including but not limited to requests, correspondence, fiscal records and authorizations:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. In some cases, facility use files may document significant attempts by the local government to broaden its support base by reaching out to community groups.

◆◆11.[483] Fire safety records, including but not limited to fire safety inspection reports, fire drill

report, fire alarm records, fire inspection reports and fire investigation reports

NOTE: Records maintained by the public safety agency which performs official fire safety functions are covered by item nos. 509, 511 and 512 in the Public Safety section, Fire Fighting and Prevention subsection.

a. Fire safety inspection reports:

RETENTION: 3 years, or until all violations noted on report are corrected, whichever is later

b. Records other than fire safety inspection reports:

RETENTION: 3 years

◆◆12.[484] Property inventory records, covering buildings, facilities, vehicles, machinery and equipment, including "fixed assets" records:

RETENTION: 0 after superseded by updated inventory, or 6 years after replacement, sale, or discontinuance of use of all property listed, whichever is sooner

13.[485] Inventory of supplies:

RETENTION: 6 years

14.[486] Public property sale or discard records, except real property, including but not limited to

description of property, bids or offers, and receipt of deed of gift:

RETENTION: 6 years

◆◆15.[487] Maintenance, testing, service, operational and repair records for equipment or vehicle,

but not covering buildings and other facilities or their mechanical, electrical systems or other infrastructure

a. Cumulative summary record for vehicle or equipment:

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RETENTION: 6 years after vehicle or equipment no longer in use

b. Individual report when posted to cumulative summary record:

RETENTION: 6 years

c. Individual report when not posted to cumulative summary record:

RETENTION: 6 years after vehicle or equipment no longer in use

d. Maintenance or repair log or similar record:

RETENTION: 6 years after last entry

e. Reports and studies relating to maintenance, testing, service, operation and repairs for equipment or vehicles:

RETENTION: 6 years

f. Requests for inspection, repair or service, when no work is performed and no funds expended:

RETENTION: 1 year

16.[488] Specifications, warranty and descriptive information received from vendor for vehicle or equipment:

RETENTION: 6 years after vehicle or equipment no longer in use

◆◆17.[489] Vehicle routing, scheduling and usage records, including automated system used to schedule and assign routes of service and maintenance vehicles

NOTE: This does not apply to emergency use of law-enforcement, fire or other

emergency vehicles, which are covered by items in the Public Safety section. For usage records covering busses and other public transportation vehicles, see the Transportation and Engineering section, Public Transportation subsection.

a. Detailed data file containing information such as on vehicle stops, usage, locations at specific times or intervals:

RETENTION: 0 after no longer needed

NOTE: Because of the amount of detailed data collected by such systems, such data may only be maintained online for a limited period of time. Some of this data may need to be retained longer to meet both administrative needs and legal requirements. It is recommended that local officials store this data offline long enough to meet such requirements. Also, maintenance of a history file (see below) containing the most significant data elements may satisfy these administrative and legal needs.

b. Automated system operation history file, containing significant data and/or periodic data snapshots, generated from detailed system data:

RETENTION: 6 years

c. Logs, schedule, reports, and queries (including macros, queries and necessary documentation used in report and query generation), which contain information of

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legal or fiscal value:

RETENTION: 6 years

d. Logs, schedules, reports, and queries (including macros, queries and necessary documentation used in report and query generation), which do not contain information of legal or fiscal value:

RETENTION: 0 after no longer needed

e. Geographic Information System (G.I.S.) street/road data file used for vehicle routing scheduling, derived from official G.I.S. data maintained by other unit of local government:

RETENTION: 0 after no longer needed

◆◆18.[490] Consumption and dispensing records for fuel, oil, or similar products used by publicly

owned vehicles or equipment:

RETENTION: 6 years

NOTE: This item does not cover fuel (jet fuel and service vehicle fuel), de-icer or other chemical storage and dispensing records for airport, which are covered by item no. 903 in the Transportation and Engineering section, Airport subsection.

◆19.[491] Request for services or supplies, including stockroom supplies, forms and publications,

duplication, or use of any vehicle or equipment

a. When a chargeback or fee is involved:

RETENTION: 6 years

b. When no chargeback or fee is involved:

RETENTION: 0 after no longer needed

20.[492] Federal Communications Commission (F.C.C.) private radio licensing records

a. Original application and other related records not created for renewal applications:

RETENTION: 5 years after final termination of license or denial of application

b. Renewal application and related records, including copy of license:

RETENTION: 5 years after renewal or termination of license or denial of application

c. Request for frequency data research:

RETENTION: 1 year

d. Listing of locations of radios using local government private radio frequency:

RETENTION: 0 after superseded or obsolete

◆21.[493] Petroleum bulk storage records

a. Registration, including application and related records:

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RETENTION: 7 years after expiration or termination of registration or denial of application

b. Monthly and ten-year mandatory inspection reports:

RETENTION: 10 years

c. Daily and other periodic inspection reportsRETENTION: 1 year

d. Test certification for underground storage tank:

RETENTION: 7 years

e. Site assessment and related records, required when an underground storage tank is abandoned:

RETENTION: PERMANENT

f. Records relating to leakage and spillage:

RETENTION: PERMANENT

g. Inventory monitoring records:

RETENTION: 5 years

◆22.[765] Aquatic weed harvesting and/or control records (covers harvesting by mechanical or manual means or control by use of herbicides):

RETENTION: 3 years

◆23.[766] Asbestos files showing the location of asbestos materials and the warnings about it given to

employees and the public, including but not limited to notice to employees, blueprints, building diagrams, laboratory reports, record of friable material found, result of analysis of

friable material sampled, and annual inspection report

a. Annual inspection report:

RETENTION: 40 years

b. All other records:

RETENTION: 40 years after building no longer exists or after all asbestos material is removed from the building

◆24.[767] Building rehabilitation and reconstruction project files when asbestos is installed, removed, encapsulated, applied, distributed or otherwise involved:

RETENTION: 40 years

◆25.[768] Lead or copper content testing and remediation files covering lead or copper content in

drinking water of public facilities

a. Water sample test results and related records, when lead or copper level exceeds the action level as defined in Section 5-1.41, State Sanitary Code:

RETENTION: 50 years

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b. Water sample test results and related records, when lead or copper level does not exceed the action level as defined in Section 5-1.41, State Sanitary Code:

RETENTION: 10 years

c. Records of remediation by replacement of lead or copper plumbing:

RETENTION: 6 years after building no longer exists

d. Records of remediation by elimination or replacement of water cooler not connected to plumbing:

RETENTION: 6 years after cooler eliminated or replaced

◆26.[769] Pesticide (including herbicide, rodenticide and disinfectant) application record

(showing kind and quantity used, dosage rate, method of application, target organism, area and time of application):

RETENTION: 3 years

NOTE: Records of incidents of possible exposure to pesticides (including herbicides, rodenticides and disinfectants), and other records created because pesticides are considered "toxic substances," are covered by item no. 379 in the Personnel/Civil Service section.

◆27.[770] Inventory of pesticides (including herbicides, rodenticides and disinfectants) maintained by

local government:

RETENTION: 40 years after superseded or obsolete

◆28.[771] Annual report of pesticides (including herbicides, rodenticides and disinfectants) used,

submitted to New York State Department of Environmental Conservation:

RETENTION: 2 years

◆29.[772] Application for business/agency pesticide registration, including all related records:

RETENTION: 1 year after superseded or invalid

◆30.[773] Records relating to certification for individual certified commercial applicator, including copy of application, records of training in use of pesticides, examination results, copy of certificate and recertification records:

RETENTION: 6 years

◆31.[774] Permits and approvals from state or county health department to operate pool or beach:

RETENTION: 3 years after denial or expiration

◆32.[775] Reports of pool or beach operation and inspection:

RETENTION: 21 years

◆33.[776] Facility inmate work crew records, covering crews from state or county correctional facilities performing work outside the facilities for local government or not-for-profit organization, including but not limited to request for work crew and site visit report:

RETENTION: 2 years

◆34.[777] Self-evaluation records, required under Americans with Disabilities Act (ADA)

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a. Voluntary compliance plan for facility, including list of persons consulted, description of areas examined, transition plan, list of problems identified and description of modifications anticipated and made:

RETENTION: PERMANENT

b. Copies of work orders, progress notes and other supporting documentation:

RETENTION: 1 year after modifications completed

◆35.[778] Inspection reports, reviews and audits (internal and external) created relative to the Americans with Disabilities Act (ADA):

RETENTION: 6 years after building or facility involved is no longer in use

◆36.[779] Individual complaint records, filed under the provisions of the Americans with Disabilities Act (ADA), including but not limited to complaint or charge, medical reports, response to charge, correspondence and internal memoranda, records documenting work done in response to complaint and documentation of final resolution

a. When complaint is filed by officer or employee of the local government involved:

RETENTION: 6 years after termination of employment

b. When complaint is filed by person other than officer or employee of the local government involved:

RETENTION: 3 years after date of final entry in record, but not less than

3 years after person involved attains age 18

◆37.[780] Summary record for individual case and/or master summary record of all Americans with Disabilities Act (ADA) cases:

RETENTION: PERMANENT

◆38.[781] Videotape or other recording maintained for security purposes

a. Videotape or other recording containing incidents warranting retention for administrative or potential legal uses:

RETENTION: 3 years, but not until any minor has attained age 21

b. Videotape or other recording not containing incidents warranting retention for administrative or potential legal uses:

RETENTION: 0 after no longer needed

◆39.[782] Records relating to protection of underground facilities

a. Notice of or request for excavation, received by local government from excavator, pursuant to 16 NYCRR, Section 753-5.2, including notice of postponement or cancellation and notice of discovery of unknown facility:

RETENTION: 4 years

b. Master list or central registry of operators of underground facilities located within borders of county or municipality:

RETENTION: 0 after superseded or obsolete

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◆40.[783] Records filed by contractor or sub-contractor with local government related to public works project, pursuant to Section 220 (3-a), Labor Law, including but not limited to copy or abstract of payroll, classification of workers employed on a project, and statement of work to be performed by each classification:

RETENTION: 3 years after contract completion

◆◆41.[897] Water supply system records, covering water supply system (such as private well) maintained by local government for its own use

NOTE: Public water supply records, where a local government provides water for public consumption, are covered by items in the Environmental Health section, Environmental

Facilities: General and Environmental Facilities: Public Water Supply subsections.

a. Permits and approvals necessary to establish or operate system, including supporting data and other related records:

RETENTION: PERMANENT

b. Original entry and intermediary charts, graphs and other data collected relating to water usage, water levels and water quality:

RETENTION: 10 years

c. Reports and related data collection and other summary records showing long-term trends and developments:

RETENTION: PERMANENT

d. Reports and related records not showing long-term trends and developments:

RETENTION: 0 years

e. Reports and test results on unsatisfactory water supply samples:

RETENTION: 20 years

f. Log recording summary information collected at periodic intervals such as changes in pressure and level, proportion of chemicals present, operational changes and problems:

RETENTION: PERMANENT

g. Log recording all or routine information such as changes in pressure and level, proportion of chemicals present, operational changes and problems:

RETENTION: 5 years

NOTE: If no logs containing summary information are generated, local governments may wish to retain all or some records covered by part "g" of this item longer, for both long-term administrative use and for potential research purposes.

◆◆42.[898] Energy consumption monitoring records showing use of electricity or fuel, operation of

heating and/or cooling equipment, or environmental conditions (temperature, humidity, air quality) in various parts of publicly owned or operated building or other facility

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a. Detailed data collected from sensors or monitors, and detailed reports generated from such data:

RETENTION: 0 after no longer needed

NOTE: Some of this data and these detailed reports may need to be retained for 6 years for energy consumption trending analysis or energy consumption audit purposes. The State Archives recommends that local governments consult the Office of the State Comptroller or their own auditor to determine which data may have long-term value.

b. Equipment maintenance, testing and service records, except detailed records of routine activities:

RETENTION: 6 years after equipment no longer in use

c. Detailed records of routine maintenance, testing and service:

RETENTION: 6 years

d. Reports relating to energy consumption and environmental conditions, including reports of problems and corrective actions taken, summary reports of environmental conditions, and reports showing long-term energy consumption trends, along with accompanying charts, graphs and data tables:

RETENTION: 6 years

NOTE: Appraise these records for historical or other long-term significance prior to disposition. Records showing long-term trends in energy use may need to be retained permanently, or at least 6 years after the building or other facility is no longer in use. Contact the State Archives for additional advice.

◆◆43.[899] Records relating to mines owned or operated by local government

a. Plans, maps and environmental impact statements generated as part of application process to obtain permit from New York State Department of Environmental Conservation to operate mine, or to obtain permit renewal:

RETENTION: PERMANENT

b. Other records generated as part of application process to obtain permit from New York State Department of Environmental Conservation to operate mine, or to obtain permit renewal, including but not limited to original and renewal application, actual permit, reports and correspondence:

RETENTION: 3 years after mine closed and land reclaimed

c. Mine registration with the United States Department of Labor, Mine Safety and Health Administration (MSHA) known as "Legal Identity Report":

RETENTION: 3 years after mine closed and land reclaimed

d. Listing of employment, accident and injury data, submitted annually by MSHA to local government:

RETENTION: 5 years

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e. Quarterly mine employment and coal production report, submitted to MSHA, as required by 30 CFR, Section 50.30:

RETENTION: 5 years

f. Basic information on employees working at mine, known as "population survey," submitted to MSHA, as required by 30 CFR, Section 45.4:

RETENTION: 0 after no persons listed on report still work at mine

NOTE: The annual training plan for employees who work at a mine is covered by item no. 655 in the General section. Accident and personal injury reports are

covered by item no. 744 in the Personnel/Civil Service Section, Personnel subsection. The rescue plan is covered by item no. 512 in the Public Safety section, Fire Fighting and Prevention subsection. Training certification records for each employee working at a mine are covered by item no. 368 in the Personnel/Civil Service section, Personnel subsection.

◆◆44.[918] Hazardous waste generation records

a. Individual load delivery and other detailed records, including manifest form:

RETENTION: 3 years after waste accepted by transporter

b. Annual and exception reports:

RETENTION: 3 years after due date of report

c. Test results and waste analyses:

RETENTION: 3 years after date waste was removed

NOTE: This item covers records of local governments which generate hazardous waste but do not operate programs to collect and dispose of hazardous waste. For governments that operate such programs, item no. 232 in the Environmental Health section, Solid Waste Management Facilities subsection, covers records of the generation, collection and disposal of hazardous waste.

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PUBLIC SAFETY

E-911 AND RELATED RECORDS

◆1.[784] Master Street Address Guide (MSAG) and related records

a. MSAG data base, containing such information as road/street names, address ranges, addresses, community names, telephone numbers, and information on properties, structure and individuals:

RETENTION: Maintain as perpetual data file, and 1 year after

replaced by superseding MSAG data file

NOTE: Appraise these records, which may contain valuable information on properties, structures and residents, for secondary uses as well as historical significance prior to disposition. Periodic "snapshots" of this data may be created and maintained as either electronic files saved to disk, tape or diskette, or as hard-copy output such as printed maps, or in both formats. Contact SARA for additional advice on the creation and maintenance of these records.

b. Street alias file, containing alternative road or street names:

RETENTION: Maintain as perpetual data file, and 3 years after replaced by superseding street alias file:

c. Records of updates, corrections and confirmations to MSAG data base, including assignments of new or revised street addresses:

RETENTION: 3 years

d. Non-permanent road/street related information, such as relating to temporary closure of road or street:

RETENTION: 3 years after information becomes invalid

◆2. [785] Telephone utility address records

a. Copy of database or printout received from telephone utility:

RETENTION: 0 after no longer needed

b. Updates, corrections, trouble reports and Automatic Location Information (ALI) discrepancy reports, submitted to and received from telephone utility:

RETENTION: 1 year

◆3. [786] Non-emergency call receipt and response records, such as those contained in E-133

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311 system, E-911 system module, or other electronic or manual system by which

non-emergency calls are handled:

RETENTION: 1 year

◆4. [787] Automatic Number Information (ANI) and Automatic Location Information (ALI) records

a. ALI database, containing street address information on each telephone number:

RETENTION: 0 after no longer needed

NOTE: Local governments which do not maintain MSAG data files may wish to retain this record as a perpetual data file, and for 1 year after replaced by a superseding data file.

b. ANI and ALI reports, such as printouts of ANI or ALI screen displays and similar records, but not including ALI discrepancy reports:

RETENTION: 0 after no longer needed

NOTE: Local governments should consult their attorney or counsel before these records are disposed of regarding any potential legal value.

◆5. [788] E-911 system development and implementation records

a. Feasibility and implementation reports and studies:

RETENTION: 6 years after completion of project

NOTE: Appraise these records for historical significance prior to disposition. Because of the costs involved and significance of implementing E-911 and related systems, these records may be important in documenting the system itself as well as the implementation process. Contact SARA for additional advice.

b. Background materials used in preparing feasibility and implementation reports and studies, preliminary maps, and detailed statistical and other supplementary data accompanying reports and studies:

RETENTION: 6 years after completion of project

c. Records relating to establishment of road/street names, address ranges and addresses, including changes in names of roads/streets and address range changes, including standards followed for naming, addressing and address conversions:

RETENTION: PERMANENT

d. Aerial photographs and final maps created in conjunction with system

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Public Safety

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RECREATION PARKS, RECREATIONAL PROGRAMS AND CIVIC CENTERS

SOME PORTIONS STRUCK

◆1.[569] Participation, attendance, or enrollment records for park, recreational facility, camp, civic center, or club

a. Summary record or report:

RETENTION: 6 years

b. Records of original entry, including worksheets, used admission tickets and ticket stubs:

RETENTION: 6 years, or 1 year after posting to summary record or report, whichever is shorter

c. Statement of disposition of unused tickets, when a fee is charged:

RETENTION: 6 years

◆◆2.[570] Park, recreational facility, marina, civic center, or club permits, granted to individual or family, including but not limited to application, affidavit, and copy of stub or license

a. Permit records, when a fee is charged:

RETENTION: 0 after invalid, but not less than 6 years

b. Permit records, when no fee is charged:

RETENTION: 0 after invalid, but not less than 1 year

c. Lease or rental agreement for marina slip:

RETENTION: 6 years after expiration, termination or denial

d. Records of dispensing of fuel or other goods or services at marina:

RETENTION: 6 years

◆3.[571] Parental consent records allowing child's participation in recreational activities, including authorization for medical treatment:

RETENTION: 6 years, or 3 years after child attains age 18, whichever is longer

◆4.[572] Planning and development records covering such topics as facility construction, improvement and usage:

RETENTION: 6 years

NOTE: Construction records for recreation facilities are covered by item no. 478 in the Public Property and Equipment section.

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NOTE: Appraise these records for historical significance prior to disposition. Final reports and studies, especially for major facilities and significant programs, may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

◆5.[573] Special event file, including but not limited to official copy of any program or promotional literature, or photographs of events or performances, background materials and supporting documentation:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Official copies of programs or promotional literature, or photographs of significant events or performances, may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

◆6.[574] Athletic program records

a. Lists of athletes or participants, records of competitions, and other records except scouting records and scouting and training videotapes:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Official score and record books, team and action photographs and videotapes of and programs for significant

competitions may have historical value in documenting community-based amateur athletics. Records with historical value should be retained permanently.

NOTE: Parental consents are covered by item no. 571, above.

b. Scouting reports and videotapes used for scouting and training purposes:

RETENTION: 0 after no longer needed

◆7.[834] Field trip records, including but not limited to trip request data; bus driver, staff and chaperone assignments; list of attendees and trip reports:

RETENTION: 6 years after date of most recent entry

◆8.[835] Bus or other vehicle use file, covering school bus or other vehicle used for transporting persons involved in recreational activities, including but not limited to copies of contracts, certificates of insurance, driver information, daily logs or other reports, and copies of applicable rules and regulations:

RETENTION: 6 years

◆9.[836] Applications for individual acceptance to camp, or participation in specific recreational programs and activities

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a. If applicant is accepted or allowed to participate, and a fee is charged:

RETENTION: 6 years after attendance or participation ends

b. If applicant is accepted or allowed to participate, and no fee is charged:

RETENTION: 3 years after attendance or participation ends

c. If applicant is not accepted:

RETENTION: 3 years

MENTAL RETARDATION AND DEVELOPMENTAL

DISABILITIES (M.R.& D.D.) RECREATIONAL PROGRAMS

STRUCK

LAW ENFORCEMENT: INCARCERATION

STRUCK

RECREATION

PARKS, RECREATIONAL PROGRAMS AND CIVIC CENTERS

◆1.[569] Participation, attendance, or enrollment records for park, recreational facility, camp, civic center, or club

a. Summary record or report:

RETENTION: 6 years

b. Records of original entry, including worksheets, used admission tickets and ticket stubs:

RETENTION: 6 years, or 1 year after posting to summary record or report, whichever is shorter

c. Statement of disposition of unused tickets, when a fee is charged:

RETENTION: 6 years

◆◆2.[570] Park, recreational facility, marina, civic center, or club permits, granted to individual or family, including but not limited to application, affidavit, and copy of stub or license

a. Permit records, when a fee is charged:

RETENTION: 0 after invalid, but not less than 6 years

b. Permit records, when no fee is charged:

RETENTION: 0 after invalid, but not less than 1 year

c. Lease or rental agreement for marina slip:

RETENTION: 6 years after expiration, termination or denial

d. Records of dispensing of fuel or other goods or services at marina:

RETENTION: 6 years

◆3.[571] Parental consent records allowing child's participation in recreational activities, including authorization for medical treatment:

RETENTION: 6 years, or 3 years after child attains age 18, whichever is longer

◆4.[572] Planning and development records covering such topics as facility construction, improvement and usage:

RETENTION: 6 years

NOTE: Construction records for recreation facilities are covered by item no. 478 in the Public Property and Equipment section.

NOTE: Appraise these records for historical significance prior to disposition. Final reports and studies, especially for major facilities and significant programs, may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

◆5.[573] Special event file, including but not limited to official copy of any program or promotional literature, or photographs of events or performances, background materials and supporting documentation:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Official copies of programs or promotional literature, or photographs of significant events or performances, may have continuing value for historical or other research and should be retained permanently. Contact the State Archives for additional advice.

◆6.[574] Athletic program records

a. Lists of athletes or participants, records of competitions, and other records except scouting records and scouting and training videotapes:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Official score and record books, team and action photographs and videotapes of and programs for significant competitions may have historical value in documenting community-based amateur athletics. Records with historical value should be retained permanently. NOTE: Parental consents are covered by item no. 571, above.

b. Scouting reports and videotapes used for scouting and training purposes:

RETENTION: 0 after no longer needed

◆7.[834] Field trip records, including but not limited to trip request data; bus driver, staff and chaperone assignments; list of attendees and trip reports:

RETENTION: 6 years after date of most recent entry

◆8.[835] Bus or other vehicle use file, covering school bus or other vehicle used for transporting persons involved in recreational activities, including but not limited to copies of contracts, certificates of insurance, driver information, daily logs or other reports, and copies of applicable rules and regulations:

RETENTION: 6 years

◆9.[836] Applications for individual acceptance to camp, or participation in specific recreational

a. If applicant is accepted or allowed to participate, and a fee is charged:

RETENTION: 6 years after attendance or participation ends

b. If applicant is accepted or allowed to participate, and no fee is charged:

RETENTION: 3 years after attendance or participation ends

c. If applicant is not accepted:

RETENTION: 3 years

MENTAL RETARDATION AND DEVELOPMENTAL

STRUCK

◆3.[839] Reports of camp operation and inspection, including facility safety, health and food service reports:

RETENTION: 21 years

◆4.[840] Routine reports, including analysis of pool or beach water samples:

RETENTION: 1 year

◆5.[841] Health records for individual camper:

RETENTION: 6 years, but not less 3 years after than camper attains age 18

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◆6.[842] Log or list of illnesses, accidents, injuries or other health and safety related incidents

a. When information is also contained in individual health records files:

RETENTION: 1 year

b. When information is not contained in individual health records files:

RETENTION: 6 years, but not less than 3 years after youngest

person listed in record attains age 18

◆7.[843] Food management records

a. Program participation agreement, including attachments and amendments:

RETENTION: 6 years after termination of agreement

b. Other program records, including but not limited to application to participate as a sponsor, individual child participation application records, requisition and approval of requisition for donated commodities, and fiscal records such as adding machine tapes, purchase orders, claims and vouchers:

RETENTION: 6 years

c. Free and reduced meal policy statement, with attachments and certificate of acceptance:

RETENTION: 3 years after policy superseded

d. Meal counts and dietary services studies:

RETENTION: 3 years

e. Menus:

RETENTION: 1 year

◆8.[844] Food inspection and investigation records, including inspection report for preparation or serving area and food sanitation complaint investigation records

a. When any significant problem is encountered:

RETENTION: 21 years

b. When no significant problem is encountered:

RETENTION: 3 years

◆9.[845] Scholarship records including but not limited to applications, recommendations, authorization of awards, financial statements, accounting data, list of scholarships awarded campers, and correspondence:

RETENTION: 6 years

SOCIAL SERVICES/WELFARE/POOR RELIEF

STRUCK

TAXATION AND ASSESSMENT

REAL PROPERTY TAXATION/ASSESSMENT SYSTEMS

NOTE: Some municipalities in the state use automated systems to keep track of various functions of their offices regarding taxation and assessment. These systems, which we are referring to generically as "Real Property Taxation/Assessment Systems," contain information in

such areas as valuation, basic property information, comparable sales, grievances, and tax collection. In general, these systems do not replace existing hard copy-based systems, but do create some of the forms and other paper records in these files. In addition, these systems contain data files and other electronic records not found in manual systems. The items below are meant to cover not only electronic records contained in these automated systems, but also maps, reports and other system output maintained in both traditional hard copy and electronic format as well.

More importantly, these systems often contain summary information on specific parcels of real property, including improvements located on them. The taxation/assessment history data file, listed below, may contain retrospective information on ownership, sales, land use, property characteristics and structures for a single parcel of property over a period of time. These systems include the "RPS" system developed by the New York State Office of Real Property Services (ORPS), as well as locally-developed and commercially-obtained systems, some of which take the place of the RPS system and others which incorporate or utilize RPS system data. While the RPS system software is developed by a state agency, system files which contain information entered by a local government are considered local government records.

◆1.[847] Real property history data file contained in taxation/assessment data system, and related records, created for informational and reference purposes, containing summary and/or cumulative historical information on such areas as property ownership, sales, land use, property characteristics and structures:

RETENTION: 0 after no longer needed

NOTE: Counties and municipalities should consider permanent retention of the these real property taxation/assessment history data files for all parcels of property. This information may be useful for long-range planning purposes, mass reappraisal, and for community, urban planning and architectural history research. More importantly, this data provides for ease of access to summary data on individual parcels of real property and the structures located on them. In addition, this data file may be used to access more detailed records maintained in electronic data output or maps, plans, permits and other paper records in inactive storage. Contact SARA for additional advice.

◆2.[848] Real property current data file contained in taxation/assessment data system (either RPS or equivalent system), and related records, containing current information on such areas as property ownership, sales, land use, property characteristics and structures:
RETENTION: 0 after no longer needed, but not less than 4 years

NOTE: Counties and municipalities should consider permanent retention of the basic data elements of these real property taxation/assessment systems for all parcels of property. These data elements may be outputted in electronic, paper, microfilm or other format, or may be transferred to an automated real property history data file (see item no. 847, above.) Contact SARA for additional advice.

NOTE: A series of interrelated and inseparable files currently contained in the RPS system hold both summary and detailed taxation/assessment data. This Schedule treats these files as one record.

◆3.[606] Master summary record of real property transfers within municipality:

RETENTION: 0 after no longer needed, but not less than 6 years

NOTE: Appraise these records for historical significance. These records, compiled from real property transfer reports received from the county, may have continuing value for historical or other research. Contact SARA for additional advice.

◆4.[849] Street address/parcel number authority data file, used to supply this or other system with accurate, up-to-date information on real property tax parcel numbers, property owners' names and addresses, parcel sizes, E-911 or other street addresses, or to correlate multiple addressing and/or parcel numbering systems:

RETENTION: Maintain as updated data file as long as address and/or parcel numbering system(s) the file contains are in use, and as long as necessary to access records identified by previous address or numbering systems.

◆5.[850] Final assessment roll sequential master backup file (sometimes known as "taxable status" file), produced annually by RPS or equivalent system, containing assessment data submitted to the State Office of Real Property Services:

RETENTION: 10 years after filing of related assessment roll

NOTE: This data may have secondary value beyond the purpose for which it is created, if it can serve as a "snapshot" of assessment data, and no other annual snapshot is created. This record may be valuable in place of or in conjunction with an automated real property history data file. Contact SARA for additional advice on the maintenance and uses of these records.

◆6.[851] Lists, reports, studies, special projects and analyses created from data contained in one or more data files in real property taxation/assessment system or subsystem

a. Final reports and studies resulting from analysis of system data, containing significant information on real property and structures located thereon, used for such purposes as long-range planning, reappraisal, or historical preservation:

RETENTION: PERMANENT

b. Background materials and supporting documentation:

RETENTION: 6 years after project completed, or after date of final entry in record

c. Preliminary reports and studies resulting from analysis of system data, containing routine information on real property and structures located thereon, or used to produce final reports and studies, as well as lists, logs or other internal information records:

RETENTION: 0 after no longer needed

VALUATION AND ASSESSMENT

◆1.[582] Assessor's field data, including field book and automated field assessment data file, containing assessor's notes and computations used in determining property valuation:

RETENTION: 4 years after last entry

2.[583] Property assessment record card or equivalent master summary record of improvements and alterations to unit of real property, and resulting valuation and assessment:

RETENTION: PERMANENT

◆3.[852] Physical inventory and property description detailed data file, used to produce property assessment record card or equivalent record, containing detailed property description (and sometimes related valuation) information, as well as photographic images and outline sketches of properties and structures located on them:

RETENTION: 0 after no longer needed, but not less than 4 years

NOTE: Counties and municipalities should consider permanent retention of the these detailed property description data files for all parcels of property. This information may be very useful for community, urban planning and architectural history research. If this is not feasible, then SARA strongly recommends that the most important data elements be preserved either in the system or output to "history" files, reports or other system output. Images contained in the system may be particularly valuable for architectural, community and historical research. Contact SARA for additional advice on the creation and maintenance of these records.

◆4.[584] Records used in determining property valuation, including but not limited to property valuation detailed data file, used to conduct analyses and perform computations necessary for valuation or revaluation of property; detailed property description; file content sheet; inventory content sheet; comparative property valuations; comparative sales records and comparables and/or sales data file; standard valuation criteria data and copies of building and zoning records:

RETENTION: 4 years after superseded or obsolete

NOTE: If the file content sheet is merely used for posting information on assessment changes, it is covered by item no. 26 in the General section.

◆5.[853] Mass reappraisal records

a. Final or justification reports or studies, created or received as part of mass appraisal process:

RETENTION: PERMANENT

b. Detailed data, cost tables, preliminary reports and computations created or received as part of mass appraisal process:

RETENTION: 4 years

◆6.[854] Questionnaires and data mailings sent to property owners, used to update information and to verify assessment and property description information maintained by local government:

RETENTION: 1 year after any necessary changes are posted to official records

7.[585] Railroad ceiling and special franchise assessment determination records

a. Annual certificate of State-determined ceiling or assessment:

RETENTION: PERMANENT

b. Railroad ceiling and special franchise assessment records, other than annual certificate, including but not limited to notice of tentative ceiling or assessment, and record of apportionment to districts:

RETENTION: 3 years

◆8.[586] Equalization rate records

a. Certificate of final equalization rate, as determined by New York State Office of Real Property Services:

RETENTION: PERMANENT

b. Equalization rate determination records other than certificate of final rate, including but not limited to notice of tentative rate, data submitted and reports submitted to State Office of Real Property Services:

RETENTION: 3 years

◆9.[587] Tax maps, including updates and revisions

a. Official copy of map created by or for municipality:

RETENTION: PERMANENT

b. Copy of map, held by municipality which conducts assessments, where

official copy is held by county:

RETENTION: 10 years after filing

c. Copy of map, held by local government which does not conduct assessments, where official copy is held by county or municipality:

RETENTION: 0 after no longer needed

d. Certification of municipality's proper maintenance of tax maps:

RETENTION: 2 years

e. Property index cards, supplemental data and background files, used in tax map preparation and maintenance:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Property index cards and related records may contain retrospective sales and other property history information, which may be very valuable if the same information is not contained in a real property history file.

◆10.[588] Tax determination records for State-owned lands subject to taxation, including certificate of tax payable, working papers, correspondence, and reports:

RETENTION: 6 years

NOTE: Appraise these records for historical significance. Certain records describing state-owned property, determining the amount of tax payable and concerning specific uses of state lands which are a matter of public concern may merit permanent retention. Contact the State Archives for additional advice in this area.

◆◆11.[589] Tax exemption or abatement file covering veterans, aged, School Tax Relief Program (STAR), nonprofit organizations, new business, conservation easements and other exemptions or abatements

a. Original detailed application and supporting documentation:

RETENTION: 6 years after expiration of exemption or abatement

b. Renewal applications, routine correspondence and memoranda (when original detailed application is maintained):

RETENTION: 6 years

c. Application denial records, including results of hearing:

RETENTION: 6 years after final determination

d. Forms used to report social security numbers/taxpayer identification numbers and not containing other substantive information, for use in income verification programs:

RETENTION: 0 after no longer needed

12.[590] Assessment/tax grievance file, including but not limited to application for re-evaluation, copy of advisory appraisal, petition, statement of complaint, copy of hearing results and correspondence:

RETENTION: 6 years after final determination

NOTE: Minutes of the Assessment Board of Review must be retained permanently. See item no. 1 in the General section.

◆13.[855] Copies of tax grievance or judicial assessment review records received by school districts, non-assessing villages and counties, including but not limited to copies of petition and notice filed pursuant to sections 708(3) and 730(8), Real Property Tax Law:

RETENTION: 1 year

NOTE: The receiving agency may wish to retain these records longer if the grievance or judicial assessment review may involve a substantial potential future tax refund.

14.[591] Agricultural land assessment records, including but not limited to application for agricultural value assessment and correspondence

a. For lands within agricultural district:

RETENTION: 6 years

b. For lands outside of agricultural district:

RETENTION: 20 years

15.[592] Assessor's annual report, created and filed pursuant to Part 193-3, 9NYCRR, Subtitle F:

RETENTION: 10 years

ASSESSMENT ROLL/TAX ROLL

1.[593] Working papers or other intermediary records used in preparation of, or in posting changes to, assessment roll or tax roll, including but not limited to assessor's notes, Record of Taxable Status and automated data file:

RETENTION: 3 years after filing of roll

2.[594] Assessment and tax rolls (including records relating to correction of errors on assessment and/or tax rolls)

a. Tentative assessment roll:

RETENTION: 5 years after filing

b. Final assessment roll:

RETENTION: 10 years after filing

NOTE: While information contained in final assessment rolls or nonwarrant tax rolls is maintained permanently by counties, these records are frequently consulted at the municipal level for administrative and research purposes. SARA recommends that municipalities retain these permanently if long-term needs exist to consult these records.

c. Warrant copy of tax roll, including warrant or levy to collect taxes:

RETENTION: PERMANENT

d. Non-warrant copy of tax roll, when warrant copy is retained permanently:

RETENTION: 1 year after filing

e. Abstract of tax roll:

RETENTION: PERMANENT

TAX COLLECTION

◆1.[595] Tax collection records

a. Tax collection data file, returned copy of tax bill, copy of receipt issued taxpayer, collector's daily accounts, receiving office tapes, records of overpayment, rebate or refund, record or notice of payment of post-due taxes, report on tax monies collected, request for extension of time to collect taxes, and similar records:

RETENTION: 6 years

b. Tax collection history data, containing summary tax collection history information, created from tax collection data file:

RETENTION: 0 after no longer needed

NOTE: Appraise these records for historical significance prior to disposition. This data may be useful for a number of years for convenience of reference, and may possibly have long-term historical value.

c. Documentation of regular updates or corrections made to tax collection data

file:

RETENTION: 6 years

◆2.[596] Statement or list of unpaid taxes or taxes due, or other lists, reports or studies relating to tax collection:

RETENTION: 6 years

3.[597] Tax escrow account records

a. Notification of creation, transfer or termination of escrow account, when original record is maintained by county:

RETENTION: 1 year after transfer or termination of account

b. Notification of creation, transfer or termination of escrow account, when original record is not maintained by county:

RETENTION: 6 years after transfer or termination of account

c. List of tax escrow accounts:

RETENTION: 1 year after superseded or obsolete

TAX REDEMPTIONS AND SALES

◆1.[598] Master summary record of real property tax lien sales:

RETENTION: PERMANENT

◆2.[599] Real property tax lien sale records

a. Official copy of tax lien sale (or auction) list or catalog:

RETENTION: PERMANENT

b. Official copy of notice of sale and proof of publication:

RETENTION: PERMANENT

c. Letter notifying owner, mortgagee, lien-holder or any other "interested party" of the forthcoming sale and proof of personal delivery of letter of notification (by process server), or proof of delivery and receipt via certified or registered mail:

RETENTION: PERMANENT

d. Tax lien sale records, including but not limited to tax lien foreclosure and sale data file, copy of deed, bids, abstract of sale, memoranda and correspondence, documentation of regular updates or corrections made to tax lien data file, except letter of notification, proof of delivery and receipt of letter of notification, sale book and official copy of notice of sale, proof of publication, sale (or auction) catalog or list:

RETENTION: 6 years after sale

3.[600] Master summary record (register, log or index file) of real property tax lien redemptions and/or discharges:

RETENTION: PERMANENT

◆4.[601] Real property tax lien redemption records, including but not limited to notice of foreclosure, certificate of redemption, record of payment of tax and penalties, memoranda and correspondence, except master summary record:

RETENTION: 6 years after redemption or discharge of lien

NOTE: These records may have value in documenting title to real property. The State Archives suggests that these records be evaluated, in conjunction with the master summary record, above, before disposition takes place.

MISCELLANEOUS

◆◆1.[602] Real property transfer report, including copy of deed, submitted to New York State Office of Real Property Services (covers form LA 23, EA 5217 or equivalents)

a. For all local governments except non-assessing villages:

RETENTION: 6 years

b. For non-assessing villages:

RETENTION: 1 year after subsequent assessment roll finalized by
town or county

◆2.[603] Informational listing or index used in relation to taxation and assessment, including but not limited to lists of property owners, real estate transfers, address changes, exempt properties, filed grievances, tax redemptions, notice of bankruptcy or foreclosure proceeding, and billing addresses:

RETENTION: 1 year after superseded or obsolete

3.[604] Records of apportionment of tax monies

a. Annual certificate of apportionment sent to municipality or district:

RETENTION: PERMANENT

b. Apportionment records, except annual certificates:

RETENTION: 6 years

4.[605] Tax search record, including but not limited to record of searches conducted, abstract of search results, correspondence and memoranda:

RETENTION: 6 years

5.[607] Tax levy and tax rate determination records, including computation of constitutional tax margin and statement filed with State Comptroller's Office:

RETENTION: 6 years

TRANSPORTATION AND ENGINEERING AIRPORT

STRUCK MATERIALS ON AIRPORTS

HIGHWAY, ENGINEERING, AND PUBLIC WORKS

NOTE: Records relating to water, wastewater, and landfill projects may be found in the Environmental Health section. Records relating to publicly owned property and equipment may be found in the Public Property and Equipment section.

NOTE: Certain records found in this section may be needed for litigation involving personal injury incurred by minors. Where appropriate, these records should be retained for 3 years after the individual involved attains age 18, even if the specified retention period has expired.

◆1.[613] Highway or other transportation structure maintenance and repair records covering routine maintenance and repair activities and pavement marking:

RETENTION: 6 years

2.[614] Snow and ice removal records, including log or report of weather conditions:

RETENTION: 6 years

◆◆3.[615] Highway or transportation structure history file containing summary information on highways, roads, streets, bridges, elevated railways, overpasses, underpasses, culverts, and other structures, except records covering routine maintenance and repair activities

a. All records in file, except draft or intermediary records documenting other than significant changes and those closely duplicating other records in file:

RETENTION: PERMANENT

b. Draft or intermediary records documenting other than significant changes, or closely duplicating other records in file:

RETENTION: 0 after no longer needed

◆◆4.[616] Project file for capital transportation improvement covering highways, roads, streets, bridges, other structures, parking lots and garages, and public transportation system improvements

a. Feasibility studies; successful bids; plans, specifications and designs; project description; in-progress and completion photographs; inspection reports; environmental impact statement; annual project statement; fiscal and other final reports, and significant correspondence:

RETENTION: 6 years after highway or structure no longer exists or is abandoned

b. Supplementary documentation, including application for assistance, project budget, interim fiscal reports, claims, contracts, vouchers, work orders, memoranda, worksheets, routine correspondence and detailed construction specifications:

RETENTION: 6 years after last entry in project file

c. Unsuccessful bids:

RETENTION: 6 years after bid rejected

d. All records, when project is proposed but not undertaken:

RETENTION: 6 years after last entry

NOTE: For additional plans, maps, designs, sketches, designs, architectural drawings and photographs of buildings and facilities, see item nos. 618 and 904, below.

5.[617] Master summary record (index, log or register) of transportation improvement projects:

RETENTION: PERMANENT

◆◆6.[618] Official maps, plans, diagrams, drawings, photographs, surveys, engineering and survey notes, detailed specifications, profiles or cross-sections of highways, roads, streets, bridges, or other structures including indices or finding aids, when not relating to specific project design files, covered by item no. 904, immediately below

a. Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for significant highway or structure:

RETENTION: PERMANENT

b. Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for other than significant highway or structure:

RETENTION: 6 years after structure no longer exists

c. Other related non-graphic design file documents, including correspondence, cost estimates, reports, planning studies and other records:

RETENTION: 6 years after completion of project

NOTE: Some of these non-graphic documents may need to be retained for 6 years after the highway or structure no longer exists, if they document significant changes with long-term fiscal and other implications. Local governments should review these records for these possible uses prior to disposition.

d. Template or other similar automated framework or reference files used in conjunction with more specific automated design files:

RETENTION: Retain as long as the related specific automated design files are retained.

e. Index or similar record used to locate, identify and access plans, maps, designs, sketches, architectural drawings, photographs and other existing records:

RETENTION: Maintain as perpetual data file or other record, deleting information only relating to records that have been disposed of.

◆◆7.[904] Design file for capital transportation improvement project, including plans, maps, designs, sketches, designs, architectural drawings, and photographs for highways and other transportation structures maintained by local government

a. Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for significant highway or structure:

RETENTION: PERMANENT

b. Final or "as built" plans, maps, designs, sketches, architectural drawings and photographs, for other than significant highway or structure:

RETENTION: 6 years after highway or structure no longer exists

c. Detailed schematic drawings, not covered by parts "a" or "b," including detailed specifications not appearing on plans, maps, designs, sketches, architectural drawings:

RETENTION: 6 years after highway or structure no longer exists

d. Other related non-graphic design file documents, including correspondence, cost estimates, reports, planning studies and other records:

RETENTION: 6 years after completion of project

NOTE: Some of these non-graphic documents may need to be retained for 6 years after the highway or structure no longer exists, if they document significant changes with long-term fiscal

and other implications. Local governments should review these records for these possible uses prior to disposition.

e. Template or other similar automated framework or reference files used in conjunction with more specific automated design files:

RETENTION: Retain as long as the related specific automated design files are retained.

f. Index or similar record used to locate, identify and access plans, maps, designs, sketches, architectural drawings, photographs and other existing records:

RETENTION: Maintain as perpetual data file or other record, deleting information only relating to records that have been disposed of.

◆◆8.[905] Highway, road, street or transportation structure management automated maintenance, repair and inspection system records, also containing information such as on motor vehicle accidents, highway safety, highway-related permits, complaints and requests for service

NOTE: This does not apply to automated systems used by public transportation systems, see item no. 908 in the Public Transportation subsection, below.

a. Detailed data file containing information such as on maintenance and repairs:

RETENTION: 0 after no longer needed

NOTE: Because of the amount of detailed data collected by such systems, such data may only be maintained online for a limited period of time. Some of this data may need to be retained longer to meet both administrative needs and legal requirements, unless official copies are maintained outside the system and are disposed consistent with item nos. 613, 614, 623, 625, 627, 628, and 630 in this section. It is recommended that local officials store this data offline long enough to meet audit or any other requirements. Also, maintenance of a history file (see below) containing the most significant data elements may satisfy these administrative and legal needs.

b. Automated system operation history file, containing significant data and/or periodic data snapshots, generated from detailed system data:

RETENTION: 6 years

NOTE: Appraise these records for archival value. History files may contain valuable information to document highway, road, street or transportation structure management over a period of time. Contact the State Archives for additional advice in this area.

c. Logs, schedule, reports, and queries (including macros, queries and necessary documentation used in report and query generation), which contain information of legal or fiscal value:

RETENTION: 6 years

d. Logs, schedules, reports, and queries (including macros, queries and necessary documentation used in report and query generation), which do not contain information of legal or fiscal value, such as when no work is performed and no funds expended:

RETENTION: 0 after no longer needed

e. Geographic Information System (G.I.S.) street/road data file used as base maps for system operation, derived from official G.I.S. data maintained by other unit of local government:

RETENTION: 0 after no longer needed

NOTE: Appraise these records for archival value. If G.I.S. data layers contain "value added" information on highways, roads, streets and transportation structures not found in the source files from which they were created, they may have secondary uses. Contact the State Archives for additional advice in this area.

f. Copies of maps, plans, diagrams, drawings, photographs, surveys, engineering and survey notes, detailed specifications, profiles or cross-sections, where official copies are maintained elsewhere, and are covered by item no. 618, above:

RETENTION: 0 after no longer needed

9.[619] Right-of-way records, including legal description of right-of-way, copies of deeds, maps and photographs:

RETENTION: PERMANENT

◆10.[620] Property acquisition records, documenting acquisition of real property obtained through eminent domain proceedings for transportation-related project, including record of public hearing, findings and determination, appraisal information, copy of court proceedings and correspondence:

RETENTION: PERMANENT

11.[621] Recommendation of Highway Superintendent or Commissioner of Public Works for expenditure of highway or road fund money:

RETENTION: 6 years

◆◆12.[622] Report or "inventory" received from and submitted to New York State Department of Transportation on status, mileage, improvements, or other characteristics of highways and bridges:

RETENTION: 5 years

NOTE: Appraise these records for historical significance prior to disposition. These records may constitute a valuable summary listing of highways and structures. Contact the State Archives for additional advice.

◆◆13.[623] Complaint or request for service, including notification (including communication log and telephone call log) of unsafe, dangerous or defective condition of highway, street, road, bridge, sidewalk, or other capital improvement, including but not limited to inspection report and record of abatement of condition

a. Summary record (such as log or register) of complaints or requests:

RETENTION: 6 years after disposition of all complaints, petitions or requests listed

b. Complaint or request for service, including follow-up records, where remedial action is taken:

RETENTION: 6 years after remedial action taken or condition otherwise abated, whichever occurs first

c. Complaint or request for service, including follow-up records, where no remedial action is taken:

RETENTION: 1 year

◆◆14.[624] Transportation- or engineering-related reports, studies or data queries, including their supporting documentation, covering subjects such as traffic congestion studies, traffic safety studies, traffic sign or signal survey, speed limit change request, including but not limited to information gathering forms; copies of accident reports and court records; copies of maps, plans and surveys; and correspondence

a. Reports, studies or queries having legal or fiscal value:

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Some of these reports and studies, including their detailed documentation, may contain significant information on such subjects as traffic congestion and traffic safety, and may reveal long-term trends and accident-prone areas and vehicles. Contact the State Archives for additional advice.

b. Reports, studies or queries having no legal or fiscal value, such as daily activity, individual "crew" or "shift" reports," daily communications or other routine internal reports:

RETENTION: 0 after no longer needed

◆◆15.[625] Traffic sign or signal erection, relocation, or removal records a. Records relating to individual or group of interconnected signs or signals, such as authorization for actions taken, photographs, copies of accident reports, copies of maps and surveys, sketches and diagrams, traffic surveys and correspondence:

RETENTION: 6 years after sign or signal replaced or no longer exists, whichever is shorter

b. Road sign or signal listing:

RETENTION: 0 after superseded or obsolete

c. Reports and other records of malfunctioning or missing sign or signal:

RETENTION: 1 year after sign or signal repaired, removed or replaced

16.[627] Copies of motor vehicle accident reports received from law-enforcement or other government agency

a. Accident reports where design or maintenance of highway or structure is relevant to accident:

RETENTION: 6 years

b. Routine accident reports:

RETENTION: 1 year

17.[628] Highway related permit file covering handling of oversized vehicles or equipment, or temporary barricading, obstruction, closing, excavation, construction or encroachment:

RETENTION: 6 years after expiration or denial of permit

18.[629] Public improvement permit file covering construction work which improves facilities benefiting the public:

RETENTION: 6 years after expiration or denial of permit

NOTE: This does not apply to building permits or environmental health related permits. See the Building and Property Regulation and Environmental Health sections of this Schedule.

◆19.[630] Inspection records for bridges, elevated railways and similar structures: RETENTION: 6 years after structure no longer in use or inspected features have been replaced

◆◆20.[631] Intergovernmental agreements, contracts or orders relative to highway maintenance, and sharing of equipment, materials or services:

RETENTION: 6 years after expiration

◆◆21.[632] Engineer's reference files, usually arranged by topic, name or number of road, or name of municipality or other government agency:

RETENTION: 0 after no longer needed

NOTE: Appraise these records for historical significance prior to disposition. These records may contain valuable information on a variety of highway- and transportation- related subjects. Contact the State Archives for additional advice.

22.[633] Parking lot or garage usage records

a. Summary record of usage:

RETENTION: 6 years

b. Traffic counts, permit applications, or other records of original entry:

RETENTION: 6 years

c. Tickets, copies or stubs of tickets:

RETENTION: 1 year

23.[634] Handicapped parking permit records

a. Copies of permits, applications and related records:

RETENTION: 3 years after expiration

b. Master listing of permits or designated parking spaces:

RETENTION: 0 after obsolete or superseded

◆◆24.[906] Copies of highway, street, road or bridge records received from other governmental jurisdiction:

a. Where construction or maintenance of highway, street, road or bridge in question is responsibility of local government which receives the records, including instances where highways, streets or roads under separate jurisdictions abut:

RETENTION: 6 years after highway or structure no longer exists

b. Copies of records received for information purposes only:

RETENTION: 1 year

◆◆25.[907] Child safety seat inspection records, including but not limited to requests for inspection, inspection reports and log or schedule of inspections performed:

RETENTION: 3 years

NOTE: Some of these records may need to be retained longer for potential legal needs, in case inspected vehicles are involved in personal injury accidents. Consult counsel to determine which records, if any, may need to be retained longer to meet these needs.

PUBLIC TRANSPORTATION SYSTEM

STRUCK

TOLL BRIDGE OR TOLL ROAD

STRUCK

VETERANS' SERVICES

◆1.[858] Client counseling file, including but not limited to basic data form, interview and counseling records, copies of State and Federal veterans' benefit forms, and records of referral to New York State Division of Veterans' Affairs:

RETENTION: 6 years after last entry

NOTE: A 1973 fire destroyed many records at the National Military Personnel Records Center. Local veterans service agencies may need to retain records predating 1973 in order to provide information contained in those records destroyed in that fire.

◆2.[859] Log or register showing summary information on all client contacts:

RETENTION: 6years after last entry

◆3.[860] Monthly statistical report submitted to New York State Division of Veterans' Affairs:

RETENTION: 1 year